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ABSTRACT

University policies, regulations, and procedures that apply to faculty members directly or indirectly, as well as the university's organization and governance, are described in the 1975 handbook. A brief history of Stanford's academic development and a bibliography to other information sources related to academic affairs are also provided. Specific topics covered include: terms and conditions of appointment; participation in university governance; affirmative action program; academic officers and programs of instruction; organized research and externally supported projects and programs; teaching responsibilities, grading, and academic standing; compensation, retirement, and benefits. Appendices provide information on the honor code, audited courses, awards, conferences, policy on campus disruption, the Legislative and Judicial Charter, the Fundamental Standard, visting scholars, and various faculty organizations and services (e.g., child care, recreational facilities). (LBH)

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FACULTY HANDBOOK

Stanford University

HE 007 427

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FACULTY HANDBOOK

Stanford University

Published by the Office of the Vice-President and Provost
November 1975

CONTENTS

PREFACE 4

FOUNDING OF THE UNIVERSITY 5

I. OFFICERS OF THE UNIVERSITY 7
- A. The Board of Trustees 7
- B. The Executive Officers 7

II. THE FACULTY 13
- A. Terms and Conditions of Appointment . . . 13
  1. Statement of Policy on Appointment and Tenure 13
  2. Statement on Faculty Discipline . . . 15
  3. Statement on Academic Freedom . . . 17
  4. Statement of Faculty Grievance Procedures at Stanford University . . . 18
  5. Titles of Faculty Appointments 20
  6. Endowed Chairs 20
  7. School Procedures 20
  8. Procedures for Recommending Appointments, Reappointments, and Promotions in the Stanford Faculty 20
  9. Courtesy Appointments 28
  10. Annual Conferences 28
  11. Close Relatives on the Faculty 28
  12. Annual Faculty Reports 29
  13. Sabbaticals and Other Leaves of Absence 29
  14. Junior Faculty Leave Program 31
  15. Tenured Faculty Development Awards 31
  16. Conflict of Interest 31
  17. Professional and Outside Activities . . 31
  18. Campus Partisan Political Activities . . 32
- B. Participation in University Governance . . . 33
  1. The Academic Council 33
  2. The Senate of the Academic Council . 33
  3. Committees 34
  4. Faculty Membership on Trustee Committees 35
- C. Faculty Affirmative Action Program 36

III. ACADEMIC OFFICERS AND PROGRAMS OF INSTRUCTION 37
- A. The Schools and Deans 37
- B. The Offices and Deans of Graduate and Undergraduate Studies 38
- C. Other Programs of Instruction or Research . 39

IV. ORGANIZED RESEARCH AND EXTERNALLY SUPPORTED PROJECTS AND PROGRAMS . . . 41
- A. Statement of Principles Concerning Research 41
- B. Committee on Research 41
- C. Vice-Provost for Research 41
- D. Sponsored Projects Office 41
- E. Academic Policy on Sponsored Research Projects or Programs 42
- F. Policy Guidelines on Secrecy in Research 44
- G. Conflict of Interest 45
- H. Patent Policy 45
- I. Copyright Policy 45
- J. Sponsored Projects Information Service . . 45
- K. Postdoctoral Scholars 45

V. TEACHING RESPONSIBILITIES, GRADING, AND ACADEMIC STANDING 47
- A. Formal Instruction 47
- B. Racial, Ethnic, and Sex-Based Principles in Educational Activities 47
- C. Religious Holidays 47
- D. Grading System 47
- E. Correction of Error in Grading 49
- F. Pass Option 49
- G. Academic Standing 49
- H. Grade Points 50
- I. Dead Week 50
- J. End-Quarter Examinations 50

VI. COMPENSATION, RETIREMENT, AND BENEFITS 51
A. Identification Cards 51
B. Salary Payment 51
C. Supplementary Compensation 51
D. Total Compensation 51
E. TIAA-CREF Retirement Annuity Plan . . . 51
F. Voluntary Tax-Deferred Annuity Programs . 52
G. Social Security Retirement Benefits 52
H. Early Retirement Program 52
I. Post-Retirement Privileges 53
J. Death Benefit Gratuity 53
K. Social Security Survivor Payments 53
L. Health Insurance 53
M. Income Continuation During Disability . . . 54
N. Group Life Insurance 54
O. Voluntary Group Accident Insurance 54
P. Travel Insurance 54
Q. Campus Housing 54
R. Tuition Grant Plan 55
S. Moving Allowances 55
T. Travel Expenses 55
U. Stanford-Sponsored Auto and Homeowner/Renters Insurances 60

VII. HISTORY OF ACADEMIC DEVELOPMENT . . 61
A. The Founders 61
B. The Presidents 61
C. The Faculty 61
D. The Students 62
E. The Will to Innovate 62

VIII. BIBLIOGRAPHY AND GUIDE TO OTHER INFORMATION SOURCES 63

IX. APPENDICES 65
A. The Legislative and Judicial Charter 65
B. The Fundamental Standard 65
C. The Honor Code 65
D. Policy on Campus Disruption 65
E. Principles of Privacy 66
F. Auditing of Courses 66
G. Visiting Scholars 66
H. Ombudsman 66
I. Faculty Awards 66
J. Conferences 67
K. Stanford Faculty Club 67
L. Stanford Campus Recreation Association . . 67
M. Stanford Federal Credit Union 67
N. Stanford Faculty Women's Club 67
O. Child Care Services 67
P. Recreational Facilities 68

X. INDEX 69

Throughout the Handbook are references to sources of additional information. The complete references and places where these and related publications may be obtained are given in Section VIII. The notation "Guide Memo" followed by a number refers to various sections of the *Administrative Guide: Organization, Policies and Procedures.*

PREFACE

Dear Colleagues:

This is the third edition of the Stanford Faculty Handbook. The revisions and new materials presented in the following pages reflect suggestions from you as well as the revisions in policies and procedures which have occurred since the second edition was published in the Fall of 1973.

The Handbook is intended to accomplish the following:

To bring together those University policies, regulations, and procedures which apply to faculty directly or are important for their understanding of the functioning of the University.

To provide a guide to the University's organization and governance.

To provide a brief history of Stanford's academic development and a bibliography to other information sources related to academic affairs.

There are, of course, additional policies and procedures applicable within specific schools and departments which have been approved by this office as consistent with overall University policy. This Handbook does not attempt to present each of these policies. Rather, you may obtain them by inquiring of your department chairperson or dean.

In an organization as complex as a university, change in organization, policies and procedures is an ongoing process. We plan to continue to revise and improve the Handbook from time to time as required, and your suggestions are invited.

William F. Miller

William F. Miller
Vice President and Provost

November, 1975

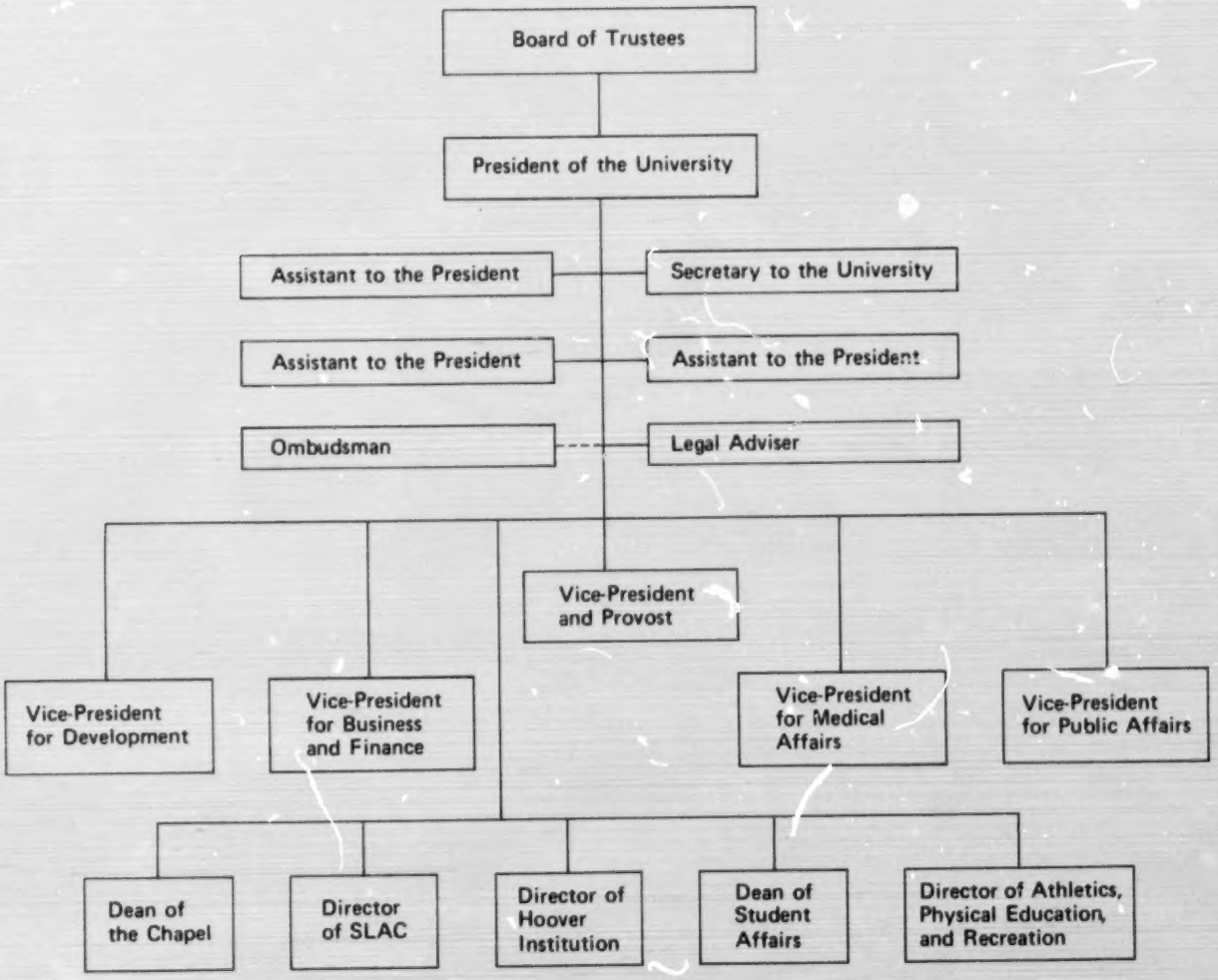
FOUNDING OF THE UNIVERSITY

The Leland Stanford Junior University was founded by Senator and Mrs. Leland Stanford on November 11, 1885, in memory of their only child. The founding of the University was accomplished by a Grant of Endowment after Senator Stanford had procured passage on March 9, 1885, of an enabling act by the legislature of the State of California. The Founding Grant conveyed to trustees certain properties, directed that a university be established, and outlined the objectives and government of the university.

Amendments. The Founding Grant reserved to the Founders the right to amend the Grant. In the years following the death of Senator Stanford in 1893, Mrs. Stanford made several amendments in the form of addresses to the Board of Trustees on such points as the nonsectarian, nonpartisan nature of the University, the powers of the President, duties of the Trustees, financial management, housing on campus, gifts from others than the Founders, summer schools, research, and tuition.

Legislation and court decrees. The University operated under the Founding Grant without complications until Senator Stanford's death. However, some problems became apparent in connection with the transfer of the trust money to the Trustees, the taxation of property and revenue, and the legal status of the University. Provisions were presented to and approved by the California legislature to correct defects, and the Trustees were authorized to petition the courts for judicial decrees in matters concerning the legal status of the University and the role of the Trustees.

Information about the founding. Detailed accounts of the steps taken in the founding of Stanford University, the texts of the various legal documents, and the history of the University are in the University Archives in the Main Library. The University also publishes the booklet, *The Founding Grant with Amendments, Legislation, and Court Decrees,* and a listing of some general works of history can be found in the bibliography of this Handbook.


Board of Trustees
President of the University
Assistant to the President
Secretary to the University
Assistant to the President
Assistant to the President
Ombudsman
Legal Adviser
Vice-President and Provost
Vice-President for Development
Vice-President for Business and Finance
Vice-President for Medical Affairs
Vice-President for Public Affairs
Dean of the Chapel
Director of SLAC
Director of Hoover Institution
Dean of Student Affairs
Director of Athletics, Physical Education, and Recreation

I. OFFICERS OF THE UNIVERSITY

A. THE BOARD OF TRUSTEES

Powers and duties. The Board of Trustees is custodian of the endowment and all the properties of the University. The Board administers the invested fund, sets the annual budget, and determines policies for operation and control of the University. The powers and duties of the Board of Trustees derive from the Founding Grant, Amendments, Legislation, and Court Decrees. In addition, the Board operates under its own by-laws and a series of resolutions of major policy.

Membership. The number of Board memberships is set at 32, including the President of the University, who serves *ex officio*, and eight who are elected by the alumni, four 35 years old or under and four older. Those elected by the alumni serve four-year terms. The remaining members are elected to five-year terms by the Board. (Trustees elected before January 13, 1971, were named to ten-year terms.)

Officers of the Board. The officers of the Board are a president, one or more vice-presidents, a secretary, a treasurer, and one or more assistant secretaries and assistant treasurers. Officers are elected to one-year terms at the annual meeting in June. Their terms of office begin July 1.

Committees. The standing committees of the Board are the Committees on Academic Affairs, Finance and Development, Investments, and Land and Buildings. Standing committees meet prior to each regular Board meeting unless otherwise directed by the chairman. The Committee on Nominations is a special committee. Special committees meet at the call of the committee chairman.

Meetings. The Board meets eight times each year, omitting meetings in January, May, July, and August. Meetings are normally on the second Tuesday of the month, except that the June meeting is on the Friday nearest Commencement.

B. THE EXECUTIVE OFFICERS

Discussed here are the President, the Vice-President and Provost, and the four Vice-Presidents. For a complete listing of both administrative and academic executive officers, consult the Stanford University *Faculty/Staff Directory*.

1. The President

Appointment. Among the powers given to the Trustees by the Founding Grant is the power and duty to appoint a President of the University, who shall not at the time of appointment be one of their number, and to remove him at will. In accordance with the by-laws of the Board of Trustees, the President of the University shall be appointed or removed only by the affirmative vote of not fewer than twelve Trustees.

Powers and duties. The Founding Grant prescribes that the Board of Trustees shall give to the President such powers as will enable him to control the educational part of the University to such an extent that he may justly be held responsible for the course of study therein and for the good conduct and capacity of the professors and teachers.

Duties assigned by the Board. The by-laws and resolutions of the Board of Trustees set forth the following duties of the President of the University in addition to those in the Founding Grant:

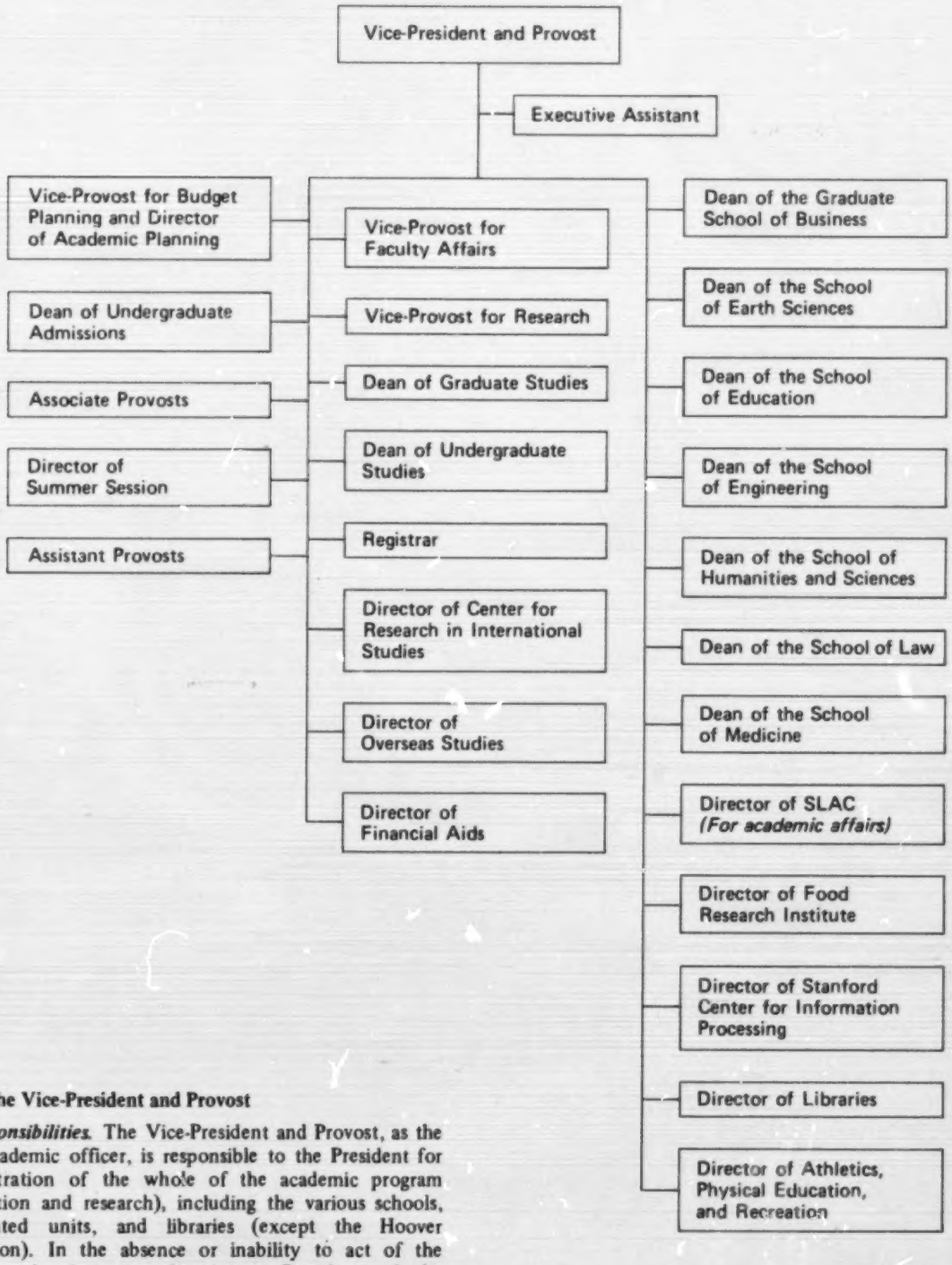
"He shall be responsible for the management of the University and all of its departments, including the operation of the physical plant and the administration of the University's business activities.

"He shall make an annual report to the Board on the operation and condition of the University. He shall report to the Board at each regular meeting on problems and progress of the University, and he shall make recommendations for action.

"In conformance with general University objectives approved by the Board, he shall be responsible for preparation of the annual University operating budget and other annual budgets as specified. He shall submit these budgets to the Board for review and subsequent action. He shall submit periodic reports to the Board on the status of plans and projections basic to preparation of budgets for succeeding years."

Appointment of staff. To assist in the performance of his duties, the President of the University, with the approval of the Board, appoints and prescribes the powers and duties of a Vice-President and Provost, a Vice-President for Medical Affairs, a Vice-President for Business and Finance, a Vice-President for Development, and a Vice-President for Public Affairs. The President of the University, with the approval of the Board, may appoint and prescribe the powers and duties of other officers and employees as he may deem proper.

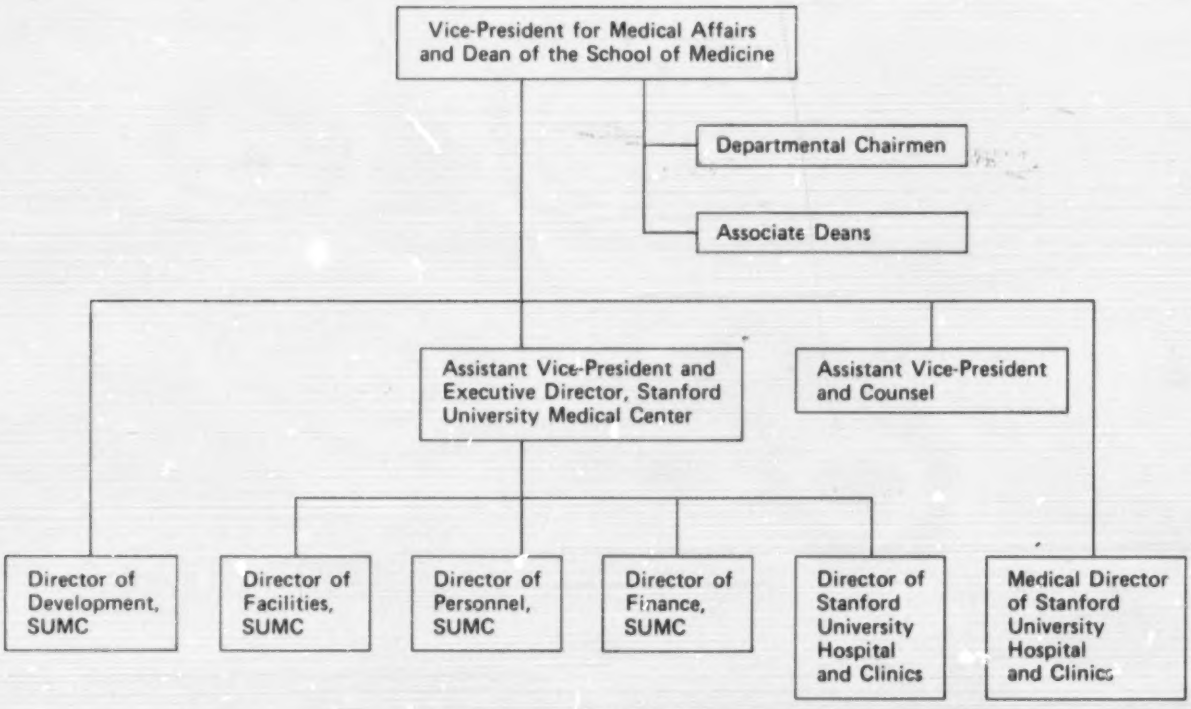
Absence or inability to act. In the absence or inability to act of the President, the Vice-President and Provost shall be Acting President and shall perform the duties of the President of the University. If both the President and the Vice-President and Provost are to be absent or unable to act, the President of the Board of Trustees may appoint an Acting President to perform the duties of the President of the University during their absence or inability to act, subject to confirmation by the Board.


Vice-President and Provost
Executive Assistant
Vice-Provost for Budget Planning and Director of Academic Planning
Dean of Undergraduate Admissions
Associate Provosts
Director of Summer Session
Assistant Provosts
Vice-Provost for Faculty Affairs
Vice-Provost for Research
Dean of Graduate Studies
Dean of Undergraduate Studies
Registrar
Director of Center for Research in International Studies
Director of Overseas Studies
Director of Financial Aids
Dean of the Graduate School of Business
Dean of the School of Earth Sciences
Dean of the School of Education
Dean of the School of Engineering
Dean of the School of Humanities and Sciences
Dean of the School of Law
Dean of the School of Medicine
Director of SLAC (For academic affairs)
Director of Food Research Institute
Director of Stanford Center for Information Processing
Director of Libraries
Director of Athletics, Physical Education, and Recreation

2. The Vice-President and Provost

Responsibilities. The Vice-President and Provost, as the chief academic officer, is responsible to the President for administration of the whole of the academic program (instruction and research), including the various schools, unaffiliated units, and libraries (except the Hoover Institution). In the absence or inability to act of the President, he becomes the Acting President of the University. He shares with the President conduct of the University's relations with other educational institutions, groups, and associations. He is the President's chief delegate in preparation of the annual University operating budget.

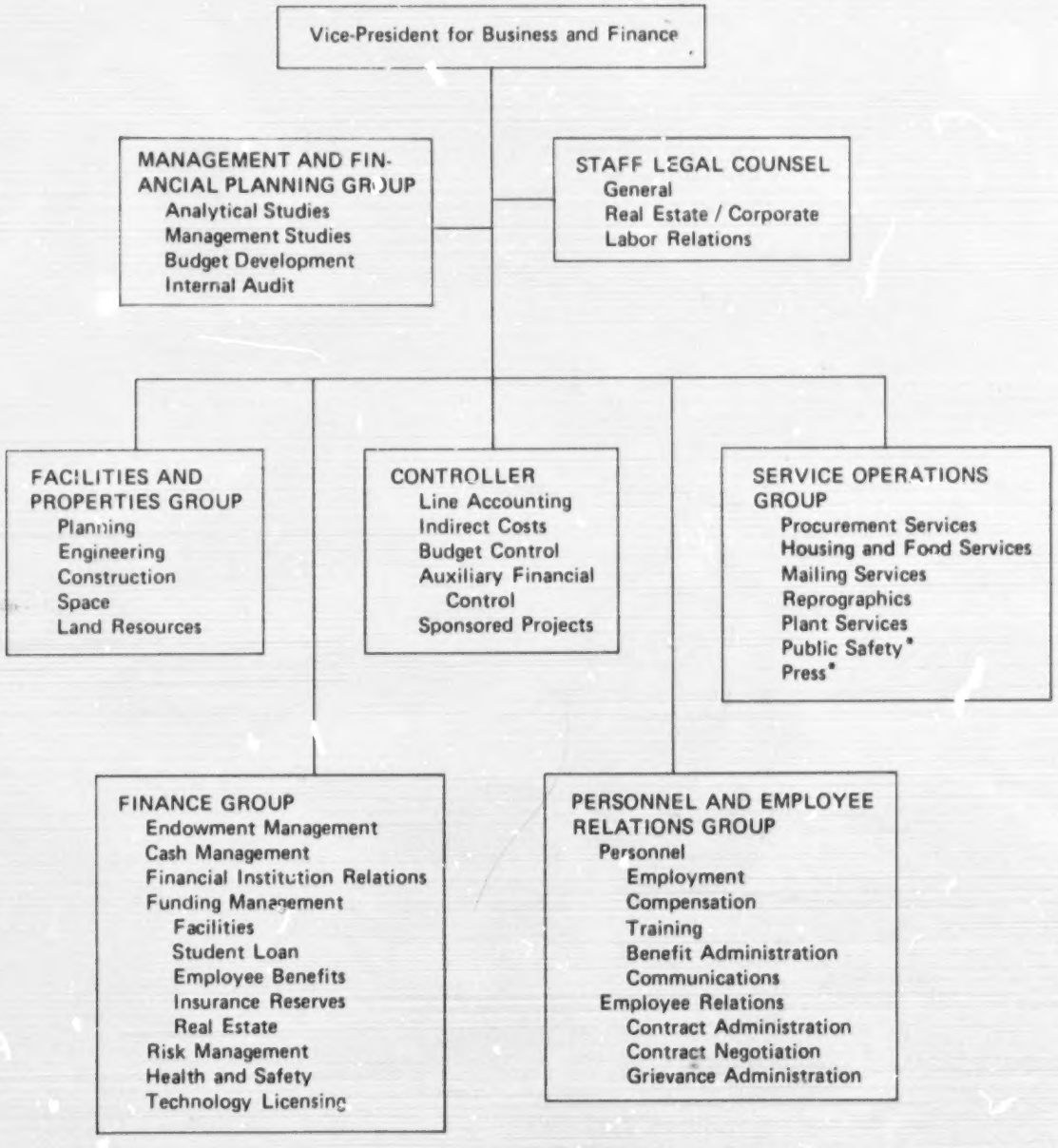
Principal staff. His principal staff officers are the Vice-Provosts, the Associate Provosts, and the Deans of Undergraduate Studies and of Graduate Studies.


Vice-President for Medical Affairs and Dean of the School of Medicine
Departmental Chairmen
Associate Deans
Assistant Vice-President and Executive Director, Stanford University Medical Center
Assistant Vice-President and Counsel
Director of Development, SUMC
Director of Facilities, SUMC
Director of Personnel, SUMC
Director of Finance, SUMC
Director of Stanford University Hospital and Clinics
Medical Director of Stanford University Hospital and Clinics

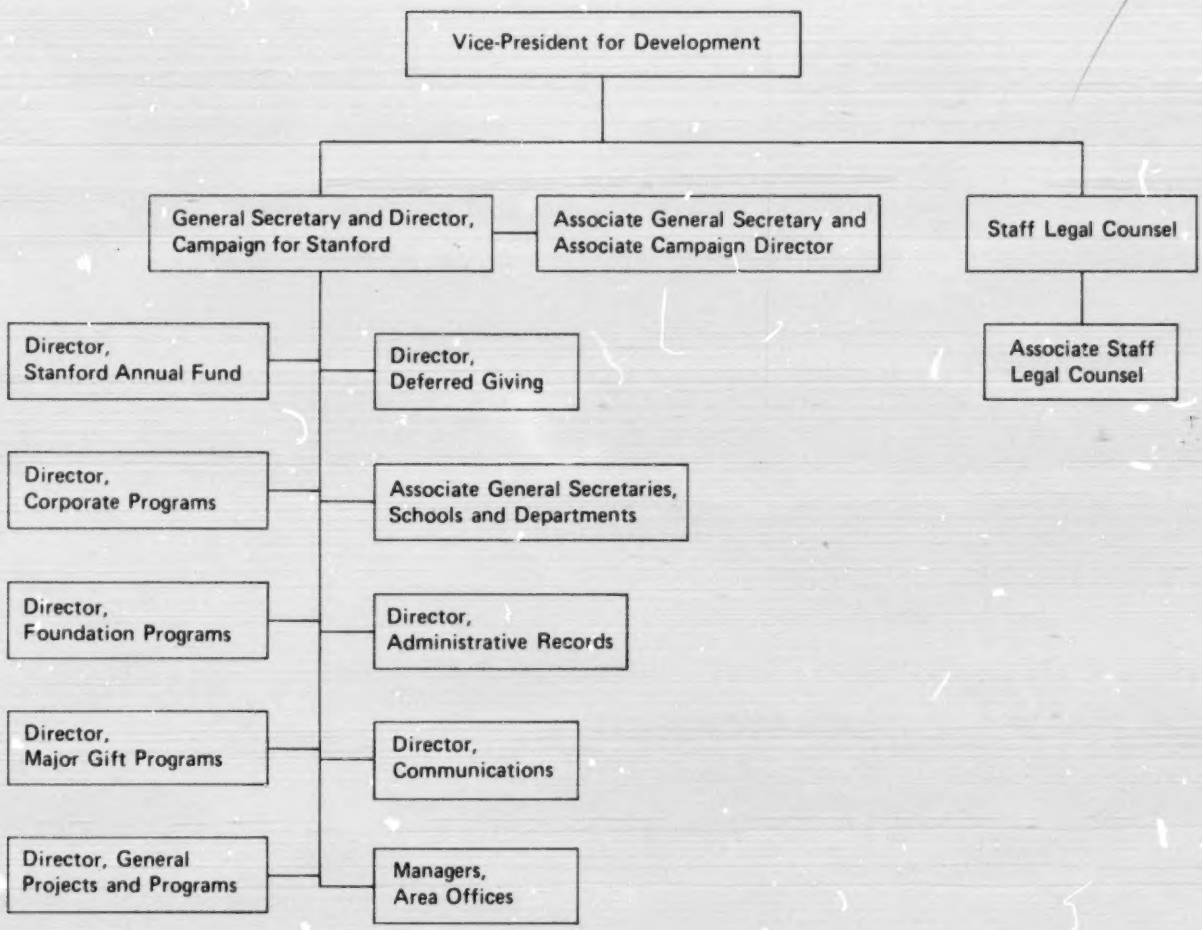
3. **The Vice-President for Medical Affairs**

Responsibilities. The Vice President for Medical Affairs, who is also Dean of the School of Medicine, is responsible to the President and the Provost of the University for the administration of all the University's programs in medical education, medical research, and patient care, except the Student Health Service. The School of Medicine, Stanford University Hospital and Clinics and the other divisions of the Allied Medical Sciences are under his direction. He represents the University in its relationships with the Stanford University Hospital Board and Administrative Staff. He also represents the University at its interface with the community at large in the broad areas of medicine. In conjunction with other University officers, he is concerned with long-range planning for the academic programs, physical facilities, and financial operation of the Stanford University Medical Center.

Principal Staff. The principal staff aides reporting to the Vice President for Medical Affairs are several associate deans, two assistant vice presidents, the Director and Medical Director of Stanford University Hospital and four Medical Center directors.



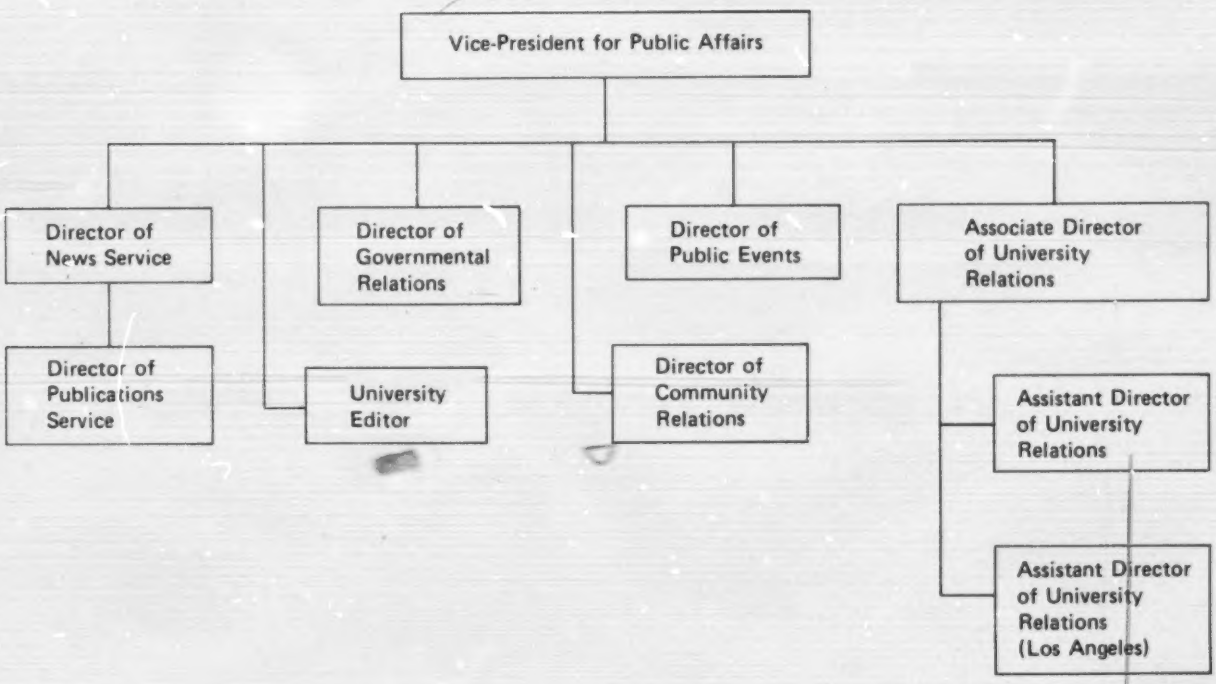
* *Reports administratively to the Vice-President*


Vice-President for Development
General Secretary and Director, Campaign for Stanford
Associate General Secretary and Associate Campaign Director
Staff Legal Counsel
Director, Stanford Annual Fund
Director, Deferred Giving
Associate Staff Legal Counsel
Director, Corporate Programs
Associate General Secretaries, Schools and Departments
Director, Foundation Programs
Director, Administrative Records
Director, Major Gift Programs
Director, Communications
Director, General Projects and Programs
Managers, Area Offices

4. **The Vice-President for Development**

Responsibilities. The Vice-President for Development is responsible to the President of the University for planning, coordinating, and managing the gift procurement programs of the University. He maintains liaison with the President, Provost, Deans, and other officers in order to relate the financial requirements of the University to the potential resources of private gift support. Through the General Secretary and Staff Legal Counsel he supervises the professional staffing of the gift procurement efforts and the provision of services to volunteer leadership and workers in such efforts.

Principal staff. The principal staff officers reporting to the Vice-President for Development are the General Secretary and Staff Legal Counsel.


Vice-President for Public Affairs
Director of News Service
Director of Governmental Relations
Director of Public Events
Associate Director of University Relations
Director of Publications Service
University Editor
Director of Community Relations
Assistant Director of University Relations
Assistant Director of University Relations (Los Angeles)

5. **The Vice-President for Public Affairs**

Responsibilities. The Vice-President for Public Affairs is a member of the President's advisory staff. He serves the faculty and administration in their relationships with the general public, with special publics, the alumni and the University community. In addition to campus-wide responsibilities as the President's principal coordinating officer for public affairs, he supervises through his own staff the University's information services for press, magazines, radio and television; production of official publications and publications services for all departments of the University; public events; community activities and local government relations; state and federal government relations; ceremonial events, dedications and other special events; visitor hospitality; and liaison with other universities and college administrations. He is University Liaison Officer to the Stanford Alumni Association and a member of the Alumni Association Executive Board.

II. THE FACULTY

A. TERMS AND CONDITIONS OF APPOINTMENT

1. **Statement of Policy on Appointment and Tenure** (as approved by the Board of Trustees September 21, 1967, and amended September 14, 1971, January 9, 1973, October 8, 1974, April 8, 1975, and September 9, 1975).

I.* TERMS OF ACADEMIC APPOINTMENT

1. The precise terms and conditions of every academic appointment shall be stated in writing and be in the possession of both the University and the appointee before the appointment is consummated. The Statement of Policy, or any modification thereof, will be made available to all administrative and teaching personnel.

2. Except as provided in this paragraph, all academic appointments shall be made either (a) for a stipulated number of years, (b) for a continuing term of appointment, or (c) without limit of time. An academic appointment without limit of time shall be considered as a permanent appointment—i.e., the term shall be understood to extend from the effective date of the appointment to the date of academic retirement of the appointee. Conditions of an academic appointment made for a continuing term are specified in Article II., Section 3. of this statement. Exception:

An academic appointment made for the duration of either (a) an administrative appointment or (b) a specific project, which appointment or project is indefinite as to time, shall, unless otherwise expressly stipulated, be construed as terminating on the expiration of the appointment or the project.

Academic appointees terminated under this provision are entitled to the benefits conveyed in Article V. of this statement.

II. SECURITY OF APPOINTMENT AND TENURE

1. Security of appointment is defined as the right not to be dismissed, involuntarily retired early, or subjected to discriminatory reduction of salary before the expiration of the term of an academic appointment except on the basis of

a. a finding, as provided in Article VI., Section 1., of substantial and manifest incompetence; or

b. a determination pursuant to the Statement on Faculty Discipline; or

c. a determination, as provided in Article VI., Section 3., of serious and protracted disability or protracted absence without leave; or

d. a determination, as provided in Article VI., Section 3., of the University's extraordinary financial emergency.

In the event of severance for the reasons given in Subsection c. or d., the individuals concerned shall be entitled to at least twelve months' notice.

2. Tenure is security of appointment which continues to the date of academic retirement. Any appointment without limit of time carries tenure automatically. Tenure may also be acquired by length of service as provided in Article IV., Section 1., in which case tenure shall imply the right of continual reappointment until the date of academic retirement.

3. Every academic appointment carries security of appointment, as defined in Article II., Section 1., for its duration, except that a continuing term of appointment may be terminated, with notice as provided in Article V., Section 1., when satisfactory performance or programmatic need ceases. Tenure, however, accrues only (a) by virtue of an appointment without limit of time or (b) by virtue of length of service as provided in Article IV., Section 1.

III. APPOINTMENTS

1. Professors shall be appointed without limit of time, unless otherwise expressly specified.

2. Associate Professors shall customarily be appointed for a term of six years, but may be appointed for a shorter term of years or without limit of time. Appointments for a term of years are renewable.

3. Assistant Professors shall customarily be appointed for a term of three years, but may be appointed for any term not exceeding five years. Such appointments are renewable but not normally beyond a total of six years at this rank.

4. Persons designated as Adjunct Professors for teaching and practice, and whose immediately preceding appointment was as a member of the regular faculty or academic staff of Stanford University, shall be appointed for continuing terms. Other persons may be designated as Adjunct Professors for teaching and practice for initial terms of up to six years' duration, and if reappointed, shall be appointed for continuing terms.

Adjunct Professors for research and scholarship shall be appointed for renewable terms of up to six years' duration or for continuing terms.

Professors of Clinical (Subject) shall be appointed for renewable terms of up to six years' duration.

IV. TENURE BY LENGTH OF SERVICE

1. Any appointment, promotion or reappointment for a term of years which extends the individual's total length of

*In the interest of internal consistency, the outline numbering in this document has been changed from that of the document which was approved by the Board of Trustees.

academic service at Stanford University at the rank of Assistant Professor, Associate Professor, or Professor, or at more than one of such ranks beyond seven years shall confer tenure. In the calculation of years of service toward tenure, any part-time appointment shall be prorated on the basis of the fraction of a full-time appointment represented, but any such appointment which extends total service at these ranks beyond ten years shall confer tenure. Such periods of service need not be continuous. Periods of leave without University salary shall be deducted in computing length of service under this provision, unless it is expressly agreed in writing by the President's Office before the leave begins that the period of leave may be counted toward the acquisition of tenure. Exceptions:

a. Service under an academic appointment made for the duration of either an administrative appointment or a specific project shall not count toward the acquisition of tenure by length of service.

b. A faculty member who gives birth while serving under an appointment which accrues time toward tenure by length of service may, subject to any necessary reappointment, have the time after which tenure would be conferred by length of service extended by one year. No more than two such extensions shall be allowed.

2. Only service at the ranks of Professor, Associate Professor and Assistant Professor shall count toward acquisition of tenure by length of service.

3. Academic service at other institutions shall not be counted toward acquisition of tenure at Stanford under Section 1. of this article.

V. PRIOR NOTICE OF NONRENEWAL

1. A faculty member (regular or adjunct) holding a renewable appointment for one year shall be notified by March 15 if his appointment is not to be renewed. Failure to give timely notice of nonrenewal shall entitle the individual to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Article IV., Section 1. When, to a faculty member holding a continuing appointment or a renewable appointment for more than one year, notice of termination or of nonrenewal is not given before July 1 of the penultimate year of the contract, the appointee shall be entitled to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Article IV., Section 1.

VI. DISMISSAL

1., a. Where the University proposes to dismiss an academic appointee or to penalize him by a discriminatory reduction of salary for reasons of substantial and manifest incompetence, as specified in Article II., Section 1., a., the individual shall first be notified (confidentially, if possible) of the charges against him and given an opportunity to reply. If the matter cannot be settled by agreement and if the individual wishes to contest the charges, he may demand a formal hearing before the Advisory Board. If such a demand is made, the President shall submit a formal statement of the charges in writing to the Chairman of the Advisory Board, with a copy to the individual. The Chairman of the Advisory Board shall set a time and place for a hearing of the charges, giving notice to the individual and allowing him sufficient time to submit a written reply to the charges and to prepare his defense. The hearing shall be private unless either the individual faculty member demands a public hearing or the Advisory Board, by majority of the whole Board, after consultation with the parties, decides upon a public hearing. If facts are in dispute, the Advisory Board shall take the testimony and receive evidence. Both parties may have the assistance of counsel and shall have the right of confrontation of witnesses and cross-examination. However, technical rules of legal evidence need not be strictly applied. A stenographic record of the hearing shall be kept and copies made available to both parties. Oral arguments may be made by both sides after the evidence has been submitted and, if the Advisory Board desires, supplementary written briefs may also be submitted. The Advisory Board shall make a written decision including express findings upon all disputed matters of fact and should make an explicit ruling in the light of the evidence as to the sufficiency or insufficiency of each of the alleged grounds for dismissal. If the decision is not unanimous that fact should be stated and the grounds of dissent indicated. Copies of the decision should be forwarded promptly to both parties, but the Advisory Board should not make its decision public until the case has been considered by the President.

b. The Advisory Board shall submit to the President its decision and the transcript of the hearings. If the President does not accept the decision of the Advisory Board, he shall resubmit the case to the Advisory Board for reconsideration with a statement of questions or objections. The Advisory Board shall then reconsider the case in the light of such questions or objections, holding further hearings and receiving new evidence, if necessary, and rendering a new decision in the same manner as before. Only after study of the reconsidered decision of the Advisory Board may the President make a final decision overruling the Advisory Board. In such case, he will give his reasons to the Advisory Board and to the faculty member concerned. In case the decision of the President is to terminate employment, such decision shall not become effective until it has been reported to and concurred in by the Board of Trustees.

c. The transcript of the hearing shall not be made public by the University except upon decision of the Advisory Board, made by majority vote of the whole Board, and concurred in by the President.

2. Disciplining of faculty members pursuant to the Statement on Faculty Discipline shall be governed by the procedures provided therein.

3. Dismissals by reason of disability, or protracted absence without leave, or extraordinary financial emergencies under Article II., Sections 1., c. or 1., d., shall be made by the President only after consultation with the Advisory Board and after appropriate advance notice to the faculty member concerned, but no formal hearings shall be required.

4. Suspension of a faculty member during proceedings under Sections 1., 2., or 3., of this Article is justified only if immediate harm to himself or others is threatened by his continuance in his regular duties. Any such suspension shall be with pay.

5. This Statement governs the terms and conditions of individual academic appointments. It shall not be construed to limit the power of the Board of Trustees, upon recommendation by the President after consultation with the Advisory Board, to determine what academic activities may from time to time be initiated, modified, or discontinued. This power is a necessary corollary of the Board of Trustees' duty to oversee the academic programs of the University. This power shall not be invoked as a substitute for the dismissal provisions of Article II., Section 1. and Article VI., Sections 1., 2., and 3., hereof. In the event of modification or discontinuance of an academic activity in circumstances other than those of extraordinary financial emergency, the University will make every effort to reassign tenured members of the faculty. If reassignment is impossible, the University will provide every possible assistance in obtaining new positions and will give the individuals concerned at least twelve months' notice before severance.

VII. APPLICABILITY PROVISION

1. Any person already holding an academic appointment in the University whose non-tenure status could be extended by this Statement must be seriously considered for tenure at the time he would have been considered had this Statement not been adopted. If he is not at that time granted tenure but his employment is continued, he is entitled to be considered again at the conclusion of the longer period permitted by this Statement.

2. Periods of instructorship served prior to September 1, 1967, shall not count toward the acquisition of tenure.

3. Each Dean will be notified when this Statement has become effective and must inform each member of his school of his tenure and appointment status as of September 1, 1967, giving continuing recognition to any prior agreements. Any person who disagrees with this status report must raise the matter with his Dean in writing two months after being so informed.

4. The provisions of Article III., Section 4. notwithstanding, persons holding the positions of Associate Professor of Clinical (Subject), Senior Lecturer, Senior Research Associate, Senior Scientist, and the like, terminating on or after September 1, 1974, and who are members of the Academic Council, shall continue their membership for the duration of their current appointment and shall be Adjunct Professors of (Subject), or, in the case of Associate Professors of Clinical (Subject), Professors of Clinical (Subject), for the duration.

5. The provision of Article IV., Section 1., regarding calculation of years of service toward tenure by part-time appointment shall apply at the appointee's option to persons holding part-time appointments as Assistant Professor or Associate Professor either (a) only for time accrued commencing September 1, 1974, or (b) for all previous part-time service at these ranks not exceeding nine years.

6. The provision of Article V., Section 1 shall apply to notification of members of the faculty holding appointments terminating on or after August 31, 1976. Members of the faculty whose appointments expire prior to August 31, 1976, shall be given notice of nonrenewal by March 15 where the appointment is a renewable appointment for one year and by December 1 of the final academic year of the term where the appointment is a renewable appointment for more than one year. Failure to give timely notice of nonrenewal shall entitle the individual to a special reappointment for an additional terminal year, but such additional appointment for a terminal year, if granted, shall not count toward acquisition of tenure by length of service under Article IV., Section 1.

2. **Statement on Faculty Discipline** (as accepted by the Senate of the Academic Council May 18, 1972, amended by the Academic Council September 29, 1972, and approved by the Board of Trustees January 9, 1973).

I. In the interest of preserving academic freedom within the Stanford Community, all members of the Academic Council are expected to maintain standards of professional behavior. However, no member of the Academic Council may be subject to disciplinary sanctions by the University unless his conduct falls within one or more of the following categories:

1. Engaging in professional misconduct in the performance of his academic activities, or his duties in connection with the University.

2. Neglecting the academic duties that he has undertaken to perform within the University.

3. Preventing or obstructing the effective carrying out of a University function or approved activity.

4. Obstructing the legitimate movements of any person about the campus or in any University building or facility.

5. Inflicting physical harm or other serious harm on any member of the University or anyone on the campus.

6. Causing damage or destruction to, or misappropriating, property owned by the University or any member thereof, or used in connection with any University function or approved activity.

7. Violating any University regulation that has been duly promulgated and approved by the Senate of the Academic Council, President, and Board of Trustees.

8. Refusing to appear and testify when summoned in connection with, or giving false testimony in, any proceeding governed by this Statement.

9. Attempting the conduct described in Paragraphs 1. through 8. of this Section, or aiding and abetting such conduct, or inciting anyone to engage in such conduct, or threatening to engage in such conduct for the purpose of intimidation or extortion.

II. Members of the Academic Council who are found in violation of these standards shall be subject to sanctions. These will include the following, in ascending order of severity:

1. Censure.

2. Temporary reduction in pay.

3. Suspension from duty without pay for a specified period.

4. Indefinite reduction in pay.
5. Dismissal from the University.

III. When the President proposes to bring charges against a member of the Academic Council for violation of the standards, that member shall first be notified, in confidence, of the charges against him and shall be given the opportunity of replying to them. If the matter cannot be settled by agreement, and if the member charged (the respondent) wishes to contest the charges, the President shall prepare, in writing, an enumeration of those charges and the maximum sanction proposed and shall forward them to the Advisory Board and the respondent. Promptly, within such time as the Advisory Board determines, the respondent may request a hearing.

IV. The Advisory Board shall devise, in consultation with the President and the Steering Committee of the Senate of the Academic Council, a set of standing rules of procedure, which will govern its proceedings and those of its Hearing Officer, provided that:

1. The set of standing rules of procedure, and any amendments thereof, shall be valid upon promulgation. They shall be submitted to the Senate of the Academic Council upon promulgation and shall become final unless vetoed by the Senate during either of the next two regular meetings of the Senate following their submission, in which case they shall be prospectively invalid;

2. The rules shall place the burden of proof by highly persuasive evidence upon the University in hearings before the Hearing Officer;

3. No rule shall infringe upon the respondent's right to be represented during the hearings by someone of his choice, his rights of confrontation and cross-examination, or his right to refuse to testify in the proceedings;

4. No rule shall infringe upon the respondent's choice between private and public hearings, provided that the rules may make provision, in the case of disruption, for closed sessions and the exclusion of persons, including the respondent and his counsel, who disrupt the proceedings;

5. No rule shall infringe upon the right of respondent or his counsel to be heard, to appear in person before the Hearing Officer, and to appear in person before the Advisory Board on the issues of whether the Hearing Officer's findings of historical fact are supported by substantial evidence, whether the standards have been violated, and the appropriate sanction; and

6. The rules shall guarantee the privilege of any witness who is summoned in connection with a proceeding governed by this statement, and is subject to disciplinary sanctions under Section I., Paragraph 8., if he should refuse to appear and testify, (a) not to incriminate himself in answer to any question, and (b) not to divulge a confidential communication from a University employee or student made with the understanding of all parties to the communication that it would be kept confidential.

V. When a hearing has been requested, and when there is a dispute about issues of historical fact, the Advisory Board shall select a qualified Hearing Officer from outside the University. The Hearing Officer shall hear evidence and shall make detailed findings of historical facts and shall submit his findings to the Advisory Board, which shall then decide whether the standards have been violated and, if so, shall recommend the sanction. If there is no dispute about issues of historical fact, the case will go directly to the Advisory Board for decision.

VI. The proceedings of the Hearing Officer and the Advisory Board shall be as expeditious as possible.

VII. In order to find a violation, a majority of the members of the Advisory Board must be satisfied that the respondent has violated the standards in the respect or respects charged.

VIII. When and if the Advisory Board is satisfied that the Hearing Officer's finding of historical fact is supported by substantial evidence, they will affirm that finding, which shall then be final and binding upon the President and Board of Trustees.

IX. If a majority of the Advisory Board decides that no violation of the standards in the respect or respects charged has taken place, the Board will notify the President of its decision.

X. If a majority of the Advisory Board decides that a violation of standards has taken place, the Board will decide upon the appropriate sanction and will notify the President of its decision.

XI. If the President does not accept the decision of the Advisory Board, he shall resubmit the case to the Advisory Board for reconsideration with a statement of questions or objections. The Advisory Board shall then reconsider the case in the light of such questions or objections, holding further hearings and receiving new evidence, if necessary, and rendering a new decision in the same manner as before. After study of the reconsidered decision of the Advisory Board, the President may make a final decision different from that of the Board only if he determines (1) that the respondent or the University was denied a fair hearing, or (2) that the Board's decision as to whether or not there had been a violation of the standards is based upon an unreasonable interpretation of those standards, or (3) that the sanction decided upon is out of proportion to the violation. If the President makes a final decision different from that of the Advisory Board, he shall give his reasons to the Board and to the respondent.

XII. In case the decision requires dismissal, such decision shall not become effective until it has been reported to and concurred in by the Board of Trustees.

XIII. At the respondent's request, and on his showing that he is unable to afford essential assistance in his defense, that he has exhausted all other means for obtaining assistance in his defense, and that the nature and seriousness of the charges necessitate the appointment of counsel or the granting of financial assistance, the Advisory Board may recommend that the University make available such funds for these purposes as the Board finds are essential.

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Rules for the Conduct of Hearings arising under the Statement on Faculty Discipline (promulgated January 15, 1973, and with additions promulgated May 17, 1973) are available in the Office of the Academic Secretary.

3. **Statement on Academic Freedom** (as adopted by the Senate of the Academic Council April 18, 1974; and approved by the Board of Trustees September 10, 1974 upon the understanding that, as stated by the President of the University in his written recommendation to the Board, "The University's processes of search and evaluation are designed to produce the best possible persons for membership on the faculty. The Statement on Academic Freedom would in no way change that goal or the practices used to reach it.").

Preamble

Stanford University's central functions of teaching, learning, research, and scholarship depend upon an atmosphere in which freedom of inquiry, thought, expression, publication and peaceable assembly are given the fullest protection. Expression of the widest range of viewpoints should be encouraged, free from institutional orthodoxy and from internal or external coercion. Further, the holding of appointments at Stanford University should in no way affect faculty* members' rights assured by the Constitution of the United States. In furtherance of these general principles:

I.

Decisions concerning

1. the search for, and appointment and promotion of, faculty;
2. the assignment of teaching and other primarily academic responsibilities;
3. the support and sponsorship of scholarly research; and
4. any other granting or withholding of benefits or imposition of burdens

shall be made without regard to a person's political, social, or other views not directly related to academic values or to the assumption of academic responsibilities; without regard to the conduct of a person holding an appointment at Stanford unless such conduct is directly related to academic values or to the assumption of academic responsibilities or is determined, in a proceeding pursuant to the Statement on Faculty Discipline, to come within the provisions of Section I of that Statement; and without regard to an individual's race, ethnic origin, sex or religion. Nothing in the foregoing shall be deemed to affect the University's application of affirmative action policies in its faculty search procedures.

II.

The grievance procedures outlined in III. are designed to assure that decisions by faculty members and administrators comply with the standards of academic freedom established in I. These procedures are internal to the University and are aimed at preserving confidentiality and academic integrity while protecting the rights of individual faculty members. The provisions of I. do not create contractual rights subject to review by agencies outside the University. The procedures outlined in III., however, constitute the administrative remedies for faculty grievances covered by parallel rights established under applicable federal and state laws (such as Civil Rights Acts).

III.

The following rules shall apply to all grievances arising under this statement:

1. The rights herein conferred shall be enforceable only by a person who is directly aggrieved and who holds a faculty position; no other person or persons shall have standing to complain.
2. Except as provided in 6. below, the aggrieved individual seeking remedy shall first make objection to the head of the individual's immediate administrative unit, and thereupon to the chairman of such individual's department, the Dean of the school, and to the Provost in that order, if not satisfied at a prior step. If any of the steps are inappropriate under the structure of the grievant's department or school or are inappropriate because the decision giving rise to the grievance has been made at a higher administrative level, such steps shall be omitted.
3. At each step in 2. above the aggrieved person shall state:
   (a) The nature of the decision which is the subject of the grievance,
   (b) The belief of the grievant that such decision is in violation of this Statement on Academic Freedom, and
   (c) After the initial objection, the fact that objection has been made to others as required in 2. above and that a reasonable time has passed without redress of the grievance.
4. Objections as set forth in 3. above may be made informally to the head of an administrative unit, department chairman, or Dean of the school. However, if the Dean did not participate in the decision which is the subject of the grievance, said Dean may require the grievant to make the objection in writing. Objections shall be presented to the Provost in writing.
5. If the Provost renders a decision which is unsatisfactory to the grievant, the latter may obtain a review of the matter by the University President as follows:
   (a) The grievant shall inform the Provost in writing of the desire for such review.
   (b) The Provost shall thereupon notify the President that review has been requested and refer the matter directly to the Advisory Board for consideration and recommendations:
      (i) Except as provided in (ii) below, the Advisory Board shall consider the matter and shall make recommendations to the

*For purposes of this Statement "faculty" refers to those persons who are subject to disciplinary proceedings under the Statement on Faculty Discipline.

President directly. In the course of its consideration, the Advisory Board may refer the matter or any issue thereof, to any person or group of persons who shall report to the Board as the Board directs.

(ii) To the extent that a grievance does not involve a violation of I.1. of this Statement, the Advisory Board may also, at its option, refer the grievance to any faculty member or committee of faculty members as it deems appropriate, which faculty member or committee of faculty members shall consider the matter and make recommendations to the President directly.

(c) If the President does not accept the recommendations as submitted, the President shall resubmit the case to the Advisory Board for reconsideration, with a statement of questions or objections. The Advisory Board shall then reconsider the matter in light of such questions or objections, and shall render a new decision. Only after a study of this new decision may the President make a final determination not in accord with the Advisory Board's recommendations. In such case the President will give his reasons in writing to the Advisory Board.

(d) The final decision of the President, with the reasons therefor, shall be given to the grievant in writing.

6. If the initial grievance is based upon a decision of the Advisory Board, the grievant shall make the objection directly to the University President in writing. The President shall thereupon determine the matter and such determination shall be final. The decision of the President, with the reasons therefor, shall be given to the grievant in writing.

7. The Advisory Board shall devise, in consultation with the President and the Steering Committee of the Senate of the Academic Council, a set of standing rules of procedure, which will govern the handling of grievances pursuant to this Section III. The set of standing rules of procedure, and any amendments thereof, shall be valid on promulgation. They shall be submitted to the Senate of the Academic Council upon promulgation and shall become final unless vetoed by the Senate during either of the next two regular meetings of the Senate following their submission, in which case they shall be prospectively invalid.

* * *

Rules for the Handling of Grievances Referred to the Advisory Board under the Statement on Academic Freedom (promulgated August 27, 1974 and revised by the Advisory Board October 4, 1974) are available in the Office of the Academic Secretary.

4. **Statement of Faculty Grievance Procedures at Stanford University** (as adopted by the Senate of the Academic Council May 15, 1975, and approved, as it modifies the customary role of the Advisory Board, by the Board of Trustees June 13, 1975).

I. *Definitions and Coverage*

A. *Grievance.* A grievance is a complaint in writing made to an administrative officer of the University concerning a decision, made by a person or group of persons acting in an official University capacity, that directly and adversely affects the grievant as an individual in his or her professional or academic capacity. A grievance does not include dissatisfaction with a University policy of general application challenged on the ground that the policy is unfair or inadvisable.

B. *Coverage.* A grievance may be filed and the appeal procedure hereunder may be utilized by any member of the Academic Council or an Assistant Professor (subject to Ph.D.). This Statement shall not be construed to limit the rights granted to any individual under the Statement on Academic Freedom.

II. *Grievance Structure*

A. The Grievance Structure consists of an Administrative Structure and the Advisory Board.

B. The Administrative Structure includes, in order and as applicable, the following administrative officers of the University: head of administrative unit; department chairperson; dean of school; Provost; and President.

C. A grievant whose grievance arises out of any decision other than a negative decision on appointment, reappointment or promotion shall have the right to appeal the decision through the Administrative Structure, but not to the Advisory Board.

D. A grievant whose grievance arises out of a negative decision on appointment, reappointment or promotion shall have the right to appeal the decision through the Administrative Structure and to the Advisory Board, and the Advisory Board is empowered to discharge its responsibilities pursuant to Article IV., section B.

E. The President shall devise, in consultation with the Advisory Board, a set of standing rules of procedure which will govern proceedings for the filing and the appeal of grievances in the Administrative Structure, provided that:

1. the set of standing rules of procedure shall be valid upon promulgation;

2. the rules shall provide that any communication solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that an administrative officer may reveal such communication or material to any person or group of persons consulted by the administrative officer and to other administrative officers and the Advisory Board if the grievance is appealed to them.

III. *Grievance Procedure*

A. A grievance shall be filed with the head of the administrative division (administrative unit, department, school, Provost's Office, President's Office) within which the decision being complained about was made.

B. If the grievance arises for the first time out of a negative decision of the Advisory Board on appointment, reappointment or promotion, the grievant shall file the grievance in writing directly with the President. The President shall thereupon determine the matter and such determination shall be final. The decision of the President, with the reasons therefor, shall be given to the grievant in writing.

C. The grievant shall file his or her complaint in writing, setting forth a statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged.

D. The administrative officer with whom the grievance is filed shall consider the grievance. The administrative officer may attempt to resolve the matter informally or make whatever disposition of the grievance he or she deems appropriate. The administrative officer shall notify the grievant in writing of the disposition made of the grievance.

IV. *Appeal Procedure*

A. *Appeal through the Administrative Structure*

1. A grievant who is dissatisfied with the disposition of the grievance by the administrative officer with whom the grievance was filed may appeal the decision in order to each of the higher administrative officers within the Administrative Structure.

2. The determination by any administrative officer of any grievance appealed to him or her shall be appealable by the grievant to the next higher administrative officer within the Administrative Structure, except that the determination of the President shall be final.

3. An appeal or appeals shall be made in writing and shall contain the following information:

a. a statement of the decision that constitutes the subject matter of the grievance and all ground(s) on which it is being challenged;

b. the names and positions of all administrative officers with whom the grievance has been filed or appealed and a copy of the determination made by each of those administrative officers.

4. Each administrative officer within the Administrative Structure shall consider any grievance appealed to him or her and shall determine the matter and shall inform the grievant in writing of the determination.

5. The administrative officer may attempt to resolve the matter informally, or refer the appeal, or any issue thereof, to any person or group of persons who shall consider the matter and report to the administrative officer as the latter directs.

6. In considering a grievance that arises out of a negative decision on appointment, reappointment or promotion, an administrative officer shall consult with the same body, if any, that makes recommendations to such administrative officer on affirmative decisions involving appointment, reappointment or promotion.

B. *Appeal to the Advisory Board*

1. If the grievant is dissatisfied with the determination of the appeal by the Provost, and if the grievance arises out of a negative decision on appointment, reappointment or promotion, he or she may appeal the determination to the Advisory Board by informing the Provost in writing that he or she desires to appeal to the Advisory Board. The Provost shall thereupon notify the President that an appeal has been made, and the President shall refer the matter directly to the Advisory Board.

2. The Advisory Board shall consider the matter and make recommendations to the President in writing.

3. The Advisory Board may conduct a preliminary review on the basis of the written appeal and may refuse to entertain the appeal if it finds that the ground or grounds on which the decision is being challenged are clearly without merit.

4. The Advisory Board may refer the matter, or any issue thereof, to any person or group of persons who shall consider the matter and report to the Board as the Board directs.

5. The President, after receipt of the recommendations of the Advisory Board, shall consider the matter. If the President does not accept the recommendations as submitted, the President shall resubmit the case to the Advisory Board with a statement of questions or objections. The Advisory Board shall then reconsider the matter in light of such questions or objections, and shall render new recommendations. Only after a study of the new recommendations may the President make a final determination not in accord with the recommendations of the Advisory Board. In such case, the President shall give his reasons in writing.

6. The final decision of the President, with the reasons therefor, shall be given to the grievant in writing.

7. The Advisory Board shall devise, in consultation with the President and the Steering Committee of the Senate of the Academic Council, a set of standing rules of procedure, which will govern the Advisory Board's proceedings on appeal of grievances concerning negative decisions on appointment, reappointment or promotion, provided that:

a. The set of standing rules of procedure, and any amendments thereof, shall be valid upon promulgation. They shall be submitted to the Senate of the Academic Council upon promulgation and shall become final unless vetoed by the Senate during either of the next two regular meetings of the Senate following their submission, in which case they shall be prospectively invalid.

b. The rules shall provide that any communication solicited and received with the understanding that it would be kept in confidence shall be kept confidential and shall not be revealed to any person, including the grievant, who was not a party to the confidential communication or material, except that such communication or material may be revealed to any person or group of persons designated by the Advisory Board to review the matter and to the President.

V. *Standards for Review on Appeal*

A. The review of an appeal by the Dean, the Provost, the President or the Advisory Board shall usually be limited to the following considerations:

1. Were the proper facts and criteria brought to bear on the decision? Were improper or extraneous criteria brought to bear on the decision?

2. Were there any procedural irregularities that substantially affected the outcome of the matter?

3. Given proper facts, criteria, and procedures, was the decision one which a person in the position of the decision-maker might reasonably have made?

* * *

Standing Rules of Procedure for the handling of grievances under the Statement of Faculty Grievance Procedures at Stanford University, which include time limitations for the filing of grievances, as well as other procedural matters, are available in the office of the Academic Secretary. (Note that a delay in filing a grievance may, taking all circumstances into account, constitute grounds for rejection of the grievance by the administrative officer with whom it is filed.)

5. Titles of Faculty Appointments

The faculty, or professoriate, consists of the regular, tenure-line professoriate and the adjunct professoriate.

The titles of regular faculty ranks are Professor, Associate Professor and Assistant Professor. As noted in the Statement of Policy on Appointment and Tenure (Article III., reprinted at page 13), Professors are normally appointed with tenure, Associate Professors are appointed either for a term of years or with tenure, and Assistant Professors are normally appointed for a term of years. Persons appointed to these ranks, at either full- or part-time are on the tenure-line.

Individuals may also be appointed to the rank of Assistant Professor with a "Subject to Ph.D." contingency. Assistant Professor (Subject to Ph.D.) is, thus, not a rank per se. Rather, it is a notice that the offer of a regular assistant professorship, made after the usual search and review, depends upon completion of the Ph.D. Although carrying out many of the responsibilities and duties of a regular Assistant Professor, the individual does not hold Academic Council membership and does not accrue time toward tenure until the Ph.D. is completed. Immediately upon conferral of the degree, without formal action, the individual becomes a regular Assistant Professor, with all the privileges and responsibilities of Academic Council membership. The "tenure clock" begins to run immediately when the degree is received.

The titles of the adjunct professoriate are Adjunct Professor and, in the case of teachers of clinical medicine, Professor of Clinical (subject). Individuals appointed to the rank of Adjunct Professor are judged by the normal tenure standards with respect either to teaching and practice or research and scholarship but not both. As noted in the Statement of Policy on Appointment and Tenure (Article III., reprinted at page 13), persons appointed as Adjunct Professors for teaching and practice normally hold continuing terms of appointment which may be terminated when satisfactory performance or programmatic need ceases. Adjunct Professors appointed for research and scholarship may be appointed either for a term of up to six years' duration or for a continuing term of appointment which may be terminated when satisfactory performance or programmatic need ceases. Normally, appointments of Adjunct Professors for research and scholarship are made coterminous with continued support from sponsored research projects. Professors of Clinical (subject) may be appointed for terms of up to six years' duration.

6. Endowed Chairs

When a gift is made to the University for the endowment of a chair, the school, department, and/or general interest area are stipulated by the donor. However, a specific faculty member cannot be stipulated by the donor. The process for designating a faculty member to fill the chair involves a recommendation from the Dean of the School(s) to the Provost who forwards it to the President. The President makes a final recommendation to the Board of Trustees.

7. School Procedures

In addition to the general University procedures for faculty appointments (reprinted below), each School has developed its own document specifying particular criteria and procedures operative within the School.

8. Procedures for Recommending Appointments, Reappointments, and Promotions in the Stanford Faculty (Revised September, 1975).

INTRODUCTION

The form, "Recommendation for Appointment to the Faculty" [reproduced below], should be used for all recommendations of one year or more (except terminal year recommendations) involving appointment, reappointment or promotion of individuals to the following ranks:

Assistant Professor
Assistant Professor (subject to Ph.D.)
Associate Professor
Professor
Adjunct Professor
Professor of Clinical (Subject)

This statement of procedures and the faculty appointment forms are designed to insure, to the maximum extent possible, that each member of the faculty shall be suitable for appointment to Stanford and the best available at his or her level of professional development for the proposed rank. Therefore, every recommendation for a new appointment must be preceded by a rigorous and comprehensive search. Further, every recommendation for reappointment or promotion involving tenure of a Stanford faculty member must be justified by a careful evaluation of the candidate in comparison with the very best individuals in his or her field and at a comparable level of professional development. In addition, deans and chairpersons of departments are reminded that every reappointment or promotion, however desirable, has the effect of reducing future opportunities for responding to changing needs and resources. Consideration of a particular case should take thoughtful account of the future of the school or department as well as the merit of the individual concerned.

GENERAL COMMENTS

The review process

When a recommendation for appointment, reappointment or promotion is received in the Provost's Office, it is reviewed by the Provost in consultation with University officers and members of his staff. If the dossier involves a non-tenure recommendation, the case

is reviewed by at least two staff members. If the recommendation is for tenure status, the case is always reviewed by either the President or the Provost or both and by the Dean of Graduate Studies, the Dean of Undergraduate Studies, and the senior academic members of the Provost's Staff. This step in the review process is intended to confirm the school's judgment that the recommended appointment is a suitable one, that there has been (where appropriate) a satisfactory comparative search, that the documentation is complete and that prescribed procedures have been followed.

The Provost is unlikely to consider either retroactive appointments or terms beginning or ending on unusual dates unless strong justification is given. The normal term of appointment commences September 1 and ends August 31.

If the Provost's review is favorable, the case is submitted to the Advisory Board for its review. The Advisory Board normally assigns one, and sometimes more, of its members to read the file, and an assignee occasionally interviews the department chairperson or dean concerned. The case is reviewed for adherence to procedural requirements and for completeness of documentation as well as for suitability. After considering issues raised by the assigned reader, the Board as a whole passes judgment on the overall suitability of the proposed appointment.

If the Advisory Board judgment is favorable, the recommendation is submitted to the President, and the President submits the recommendation to the Board of Trustees at its next meeting.

It is understood that faculty members, department chairpersons and deans are often under pressure to offer assurances to recommended candidates before final action has been taken by the Board of Trustees, but this pressure should be resisted. Instead, candidates should be fully and carefully informed of the University's procedures and schedule for consideration of recommendations. Department chairpersons and deans, however, are justified in encouraging the candidate with reports of the progress of the recommendation through the various stages and indicating when final action may be expected.

Special considerations

If an individual is recommended with the contingency, "*Subject to Ph.D.*" (i.e., "Assistant Professor [Subject to Ph.D.]"), the qualification should be included in the "complete professorial title" on page one of the faculty recommendation form. When an individual has been appointed "Subject to Ph.D.," the Provost's Office should receive documentation of degree conferral when it occurs. At that time, a notation of the degree conferral will be made in the individual's file.

When an individual is being recommended for an appointment coterminous with support (e.g., adjunct professor appointed for research and scholarship) or an administrative assignment, deans and department chairpersons are asked to note the coterminous nature of the appointment beside the recommended dates of appointment. Generally, such qualification should be stated in the following terms:

"Coterminous with continued support from sponsored research projects."

The qualification may vary in specific schools. For example, appointments at SLAC would carry the qualification "coterminous with continuation of contract support at SLAC." Deans and department chairpersons with questions about specific wording of coterminous clauses should consult the Provost's Office.

If an individual is being recommended for a part-time appointment, the percent time of the recommended appointment should be noted after the "complete professorial title" on page one of the recommendation form.

When an individual is being recommended for an appointment as an adjunct professor, the department chairperson or dean should note whether the appointment is for "research and scholarship" or for "teaching and practice." Although these modifiers are not formally a part of the individual's professorial title, they are helpful for record keeping purposes.

If the candidate is being recommended for a joint appointment or for a courtesy appointment, both department chairpersons and both deans involved must sign the recommendation. Courtesy appointments should be included as a part of the "complete professorial title." If the term of the courtesy appointment is other than the term of the professorial appointment, the dates of the courtesy appointment should be specifically noted.

A note on visas

To hire a person from another country is a significant action, and the responsibility undertaken should be fully understood. The limitations and procedures pertaining to immigrant visas should be reviewed before an offer of long-term employment is made to a non-United States citizen, whether now residing abroad or in the United States on a non-immigrant visa.

The Director of Bechtel International Center has been designated by the President to handle visa matters for foreign nationals, to advise in matters regarding immigration laws and regulations, and to execute visa petitions and other visa documents for the University. Before a preliminary offer of employment is made to a person who is not a United States citizen, and before the recommendation is forwarded to the Provost, the department chairperson or dean must contact Bechtel and obtain and complete a visa information form. This form must accompany the recommendation.

Completion of the form will involve discussions with the candidate regarding his or her visa status, visa expiration date, visa sponsorship and consideration of factors which might prevent or delay approval of an Immigrant Visa. (For example: born in Western Hemisphere; having been a recipient of U.S. Government or foreign government monies while in the United States, either as a student or as a postdoc; candidate's skill considered vital to country of citizenship, etc.) The form should then be forwarded to the Director of Bechtel International Center who will review it and note any foreseeable difficulties with visa matters (i.e., ineligibility for visa extension for duration of recommended appointment, etc.). The Director of Bechtel will return the form to the department or school where the term of the appointment should be reviewed in light of any potential visa difficulties.

ALL RECOMMENDATIONS

Bibliography

The recommendation must include the candidate's complete bibliography. At least one member of the search or evaluation committee must have read the candidate's principal publications, and the recommendation must provide a discussion of the two to four most important items in the candidate's bibliography, stating in language as clear and non-technical as possible why they are significant.

Where the candidate's primary endeavor is in areas of performance (studio art, dramatic production, music, etc.) or clinical practice, activities should be listed and discussed in a manner comparable to the bibliographic information requested above.

If the candidate has not published (e.g., initial appointment of assistant professor), the bibliographical information must include a statement commenting on the candidate's dissertation from at least one member of the search committee who has read the work. The recommendation should also include letters from the individuals who directed the dissertation which rate the candidate's work in comparison with that of other new scholars at the same point in their careers. If the candidate is to be appointed subject to the receipt of the Ph.D., a report on the progress and prospective quality of the dissertation should be attached.

A description of the candidate's current work and its prospective quality should be attached as well. Where the recommendation is for non-tenured promotion or reappointment, and there has not been considerable published work beyond the dissertation, a particular effort should be made to evaluate the candidate's unpublished work in progress.

Intended Role

All recommendations should include a specific explanation of the candidate's intended role in the school or department, including any limitations placed on teaching load. If the recommendation is for appointment or reappointment in the adjunct professoriate (adjunct professor or professor of clinical [subject]), particular attention should be given to a description of the programmatic need which warrants the appointment. The explanation should include a discussion of why it is expected that the candidate will be successful in the role.

If the candidate's role will be significantly involved with other

departments or schools, the recommendation should discuss the extent and results of consultations with such schools and departments relative to the candidate. Letters should be attached documenting the opinions of concerned schools and departments.

Recommendations involving individuals presently at Stanford should include discussion of service in which the candidate has made significant contributions to his or her department or school (e.g., departmental committee assignments, advising responsibilities, etc.) and an indication of institutional service in which the candidate has made significant contributions to the University reaching beyond his or her department or school, including major committee assignments, special assignments, participation in student-related activities, etc.

New appointment dossiers should offer evidence of significant institutional service at any previous academic post, if it is expected that the candidate will contribute to the University beyond his or her teaching and research.

Evaluation of Teaching

The recommendation should specify the kinds of teaching expected of the candidate and provide specific evidence of strengths and weaknesses in teaching performance in those areas.

For candidates already at Stanford, this evidence should include faculty and student evaluations. For persons coming from other institutions, deans and department chairpersons should make an effort to obtain available faculty and student evaluations from the previous institution. Letters sent to external referees requesting evaluation of the candidate should specifically request evidence of skill in the teaching of undergraduates.

Where teaching will be the primary responsibility of the candidate (e.g., appointment or reappointment to adjunct professor for teaching and practice or professor of clinical [subject]), serious and imaginative efforts to assess teaching ability are particularly critical. This is not easy, especially when the candidate is coming from another institution, but useful information can often be generated. Such information should, where possible, include formal evaluations, as well as other modes of assessment and reports from colleagues.

Deans and department chairpersons are reminded of the Resolution on Evaluation of Teaching adopted by the Senate of the Academic Council on November 29, 1973, which states:

> ". . . it is the sense of the Senate of the Academic Council: . . . b. That for considerations of long-term reappointment or promotion every department should use some formal procedure of teaching evaluation approved by the Dean of the School, and that this formal procedure should include several means of evaluation, including evaluation by students. . . ."

If the candidate is presently at Stanford, the recommendation should include a summary of teaching commitments for the past three years, with course titles and numbers, units and enrollments.

If the candidate has directed post-baccalaureate students, names and dates of doctoral graduates for whom the candidate was the principal advisor, as well as those of current doctoral students, should be provided.

NEW APPOINTMENTS

Billeting

Copies of the dean's request, which will have included supporting data justifying the request, and the Provost's billet authorization must accompany all recommendations for new appointments to the faculty.

Search

When a department receives authorization from the Provost through the appropriate dean (or, in the case of Business, Education, Law and SLAC, directly from the Provost) to appoint a new faculty member, the department chairperson or dean is urged to appoint an *ad hoc* search committee. A nationwide search is required for all new appointments to the Stanford faculty.

The search committee is urged to publicly advertise all new positions in addition to using other appropriate methods of candidate solicitation. Letters describing the position should be sent to those higher educational or other institutions which are likely to provide a suitable candidate. Advertisements and letters announcing an available post should include a sentence such as: "Stanford University is an equal opportunity employer and welcomes nominations of women and minority group members and applications from them." The sentence should be sufficiently strong so that applicants from these groups are encouraged to apply, but not so strong that individuals who are not members of these groups are discouraged from applying. Letters describing the post should be sent, as well to female and minority group caucuses of the appropriate professional societies. A list of some caucuses is maintained by the Vice Provost for Faculty Affairs.

In addition, departments and schools routinely should inform currently appointed senior lecturers, lecturers, senior research associates and research associates of available faculty positions (e.g., advertising position in *Campus Report*, school newsletter, etc.). Such individuals should be able to apply for such faculty posts without prejudice to their current positions.

It should be noted that persons who hold or have held acting or visiting titles at Stanford occasionally become candidates for regular appointment. The credentials of such persons may be more easily assessed than those of others, but this in no way lessens the obligation of the search committee to consider by all means available the credentials of candidates having no prior association with the University. This obligation should be made clear to candidates who hold or have held Stanford appointments.

The recommendation must describe the program of search that resulted in the recommendation for appointment (e.g., method of soliciting applications, etc.). It should include a list of all outside sources consulted for information and evaluation of possible candidates and letters sent to such sources. Copies of all letters of evaluation of the recommended candidate must accompany the recommendation. In addition, the members of the search committee should be listed. A report from the chairperson of that committee should be attached, including comments from committee members who are familiar with the candidate's scholarly work and teaching or who participated in interviews. This report should highlight both the strengths and the weaknesses of the candidate, with particular reference to specific letters of evaluation. If the search was performed by one individual, that person should provide the report.

Further, the recommendation must include a list, in order of priority, of candidates seriously considered for the post and an explanation of the order of priority. If the recommended candidate is not the first choice, the recommendation should explain why higher choices are not being put forward.

If the recommended candidate is not a woman or a member of an ethnic minority group included within the Affirmative Action program, the recommendation must indicate which of the finalists do fall within the program and must describe the Affirmative Action aspects of the search. A detailed comparison of the recommended candidate with the candidates who fall within the program should be included in the explanation discussing the order of priority of the candidates.

SPECIAL NOTES

New appointment of assistant professors

The Advisory Board, the President and Provost recognize that there are significant variations in the circumstances in which men and women qualify for and secure appointment to first-term assistant professorships, according to field and discipline. Engineers, humanists, lawyers and radiologists come from different backgrounds and through different educational training arrangements. Nevertheless, all appointments have in common the requirement of excellence, however measured.

Appointments at the level of assistant professor should only be made after careful evaluation of available candidates. Evaluations of the recommended candidate by external referees need not be comparative, but the search committee's report should, as noted in the discussion under "Search" above, compare the candidate to other finalists for the post. All letters of inquiry soliciting recommendations should be included along with all responses concerning the candidate recommended for appointment. In addition, transcripts of graduate and undergraduate records should be included with the individual's biographical information.

New tenured appointments and appointments as non-tenured associate professor

The search committee will be expected to follow especially rigorous screening and evaluation procedures. All letters of inquiry requesting information and evaluation of principal candidates must

request *comparative* evaluation of the candidate's strengths and weaknesses relative to others of recognized excellence in the same field and at a similar level of professional development. Some evaluations make relatively little impact because they consist of mere endorsements that the candidate is a competent person. By far the best protection against this is to request and to insist upon comparison with the very best of the candidate's peers.

To aid those outside the discipline who must review the recommendation, the search committee's report should also include a brief description of the stature and competence to judge the candidate's qualifications of all referees whose judgments have a significant bearing on the recommendation.

Reappointments and promotions resulting in the acquisition of tenure

The full documentation and careful judgments called for in these papers reflect the fact that the decision to confer tenure is among the most important in the professional life of the individual and the academic life of the University.

When it is proposed to reappoint or promote a member of the Stanford faculty to tenure status, the department or school is under special obligation to present evidence that the candidate is among the two or three of the very best persons at a similar level of professional development and that the individual has made significant scholarly contributions. The tendency to be kind in judgments about a loyal and dependable colleague is understandable. But the tendency may also stand in the way of the further improvement of the quality of the Stanford faculty.

The department chairperson or dean should appoint an *ad hoc* committee to evaluate the work of the candidate. The recommendation should describe the program of evaluation, including a report from the committee chairperson, a list of committee members and comments from committee members who are familiar with the candidate's scholarly work and teaching. This report should highlight both the strengths and the weaknesses of the candidate, with particular reference to specific letters of evaluation. If the evaluation is performed by one person, he or she should provide the report. The report may include as well a statement from the candidate expressing his or her views about his or her scholarship, teaching and value to Stanford.

A documented comparison of the candidate with the best persons in his or her field and at a comparable level of career development is essential, even though it is a difficult and burdensome task, especially when there is a comfortable and apparently solid judgment that the individual now in the position is well qualified. Outside sources must be consulted for this evaluation, and the candidate should be asked to supply additional references who can judge the quality of his or her accomplishment. Evaluations consisting of mere endorsements of the candidate are of little use. By far the most useful and valuable evaluations are those which insist upon comparative judgments in letters requesting information. All letters of inquiry and all responses to them must accompany the recommendation. To aid those outside the discipline who must review the recommendation, the search committee's report should include a brief description of the stature and competence to judge the candidate's qualifications of all referees whose judgments have a significant bearing on the recommendation.

Non-tenured promotions and reappointments

Non-tenured promotions must be preceded by an evaluation to determine whether the scholarly work and teaching of the candidate is sufficiently strong to justify advancement in rank. Where an individual is proposed for non-tenured promotion, external evaluations are required and must accompany the recommendation along with the letters soliciting them. To aid those outside the discipline who must review the recommendation, the committee's report should include a brief description of the stature and competence to judge the candidate's qualifications of all referees whose judgments have a significant bearing on the recommendation.

While non-tenured appointments are made for a first term with the clear possibility of reappointment, such action is by no means automatic. A recommendation for non-tenured reappointment should be preceded by a careful evaluation of all available information on the candidate's progress since initial appointment to the Stanford faculty to insure that the candidate continues to meet the requirements of excellence. The evaluation should include a discussion of any significant shortcomings in teaching or scholarship. If the decision to reappoint is positive, the results of a careful evaluation are often helpful in providing feedback to the junior faculty member on his or her progress at Stanford. Outside letters of evaluation are not required for non-tenured reappointment since in many cases such letters are little more than carbon copies of recommendations made at the time of original appointment. If substantive external evaluations are available, they should be included in the dossier.

Recommendations for non-tenured reappointments and promotions should explain specifically the evidence which justifies the recommendation. Members of the evaluation committee should be listed, and the chairperson of the committee should explain the program of evaluation, including comments from committee members who are familiar with the candidate's scholarly work and teaching. This report should highlight both the strengths and the weaknesses of the candidate, with particular reference to specific letters of evaluation. If the evaluation was performed by one person, he or she should provide the report. Deans and department chairpersons are reminded that, in the evaluation of the candidate's bibliography (discussed at page 21), an effort should be made to review unpublished work in progress where there has not been considerable work published beyond the dissertation.

Promotion of a faculty member already holding tenure

Promotion to full professor of a faculty member already holding tenure at Stanford is by no means automatic. Rather, promotions should be preceded by a careful evaluation of the candidate's scholarly work and teaching, and the results of this evaluation must clearly justify promotion. The evaluation must include outside evaluation of the candidate in comparison with the very best persons in his or her field at the same level of professional development. Letters of inquiry and the responses should accompany the recommendation.

Members of the evaluation committee should be listed, and the chairperson of the committee should explain the program of evaluation, including comments from committee members who are familiar with the candidate's scholarly work and teaching. The report should highlight both the strengths and the weaknesses of the candidate, with particular reference to specific letters of evaluation. If the evaluation is performed by one person, he or she should provide the report. To aid those outside the discipline who must review the recommendation, the report should include a brief description of the stature and competence to judge the candidate's qualifications of all referees whose judgments have a significant bearing on the recommendation.

Appointments and reappointments in the adjunct professoriate

Members of the adjunct professoriate are judged by the normal tenure standards of the tenured faculty with respect to either teaching and practice or research and scholarship, but not both.

Appointments to the adjunct professoriate (of persons new to Stanford or of persons from the regular faculty or academic staff) should be reviewed in the same fashion as new tenured appointments. (See page 22.) Recommendations for reappointment of members of the adjunct professoriate should include comparable documentation to that in recommendations for tenured reappointment and promotion. (See page 23.)

Comparative evaluation by external referees may not be appropriate where the primary responsibility of the candidate will be teaching and practice. In such cases, serious effort to evaluate teaching is particularly crucial and a thorough documentation of the specific program of evaluation is essential.

Where the candidate's primary responsibility is research and scholarship, outside evaluations must accompany the recommendation. Deans and department chairpersons should note that individuals appointed for research and scholarship will, normally, hold terms "coterminous with continued support from sponsored research projects."

In the discussion of the candidate's role, deans and department chairpersons should provide a particularly thorough description of the programmatic need which warrants the adjunct professoriate recommendation. (See page 21.)

Part-time appointments

No University-wide policy prohibits the appointment of regular or adjunct faculty members at any rank on a part-time basis, although a large number of such appointments within any one department would clearly weaken its academic program.

All normal criteria relating to the quality of academic contribution should apply to these appointments. Those holding them would be expected, within policies established in individual schools, to participate as full colleagues making proportional contributions to the life of the department, service on committees, and the advising of students. It seems realistic to assume that an appointment at 50 percent time or more would normally be necessary if the faculty member is to contribute to the academic program in the manner described above. Although this is an operational guideline, rather than an absolute limit, recommendations for appointment of less than 50 percent time should thus include an indication of a special circumstance requiring an exception to this guideline.

Individuals appointed at part-time accrue time toward the acquisition of tenure on a prorated basis as set out in the Statement of Policy on Appointment and Tenure (Article IV.).

The security of an appointment or tenure for part-time service applies to the specific fraction stated in the most recent appointment action. If the appointment is for less than full-time, increasing the fraction of time to which security of appointment or tenure applies would require reappointment of the individual at the newly proposed level of service. It is possible, of course, to increase the percentage of time actually served above the level specified on the appointment form, in which case supplementary pay would support the additional level of service (just as full-time appointees receive supplementary pay for fourth-quarter service).

Preparation of biographies for tenure recommendations

A brief biography should be included with each tenure recommendation. The biography should be written by a colleague familiar with the candidate's work and should include a paragraph or two describing the candidate's major research concerns, which should be understandable to people outside the field, as well as a brief paragraph stating why the individual is important to the department, and, if appropriate, the role he or she has played in the past. Sample biographies are available from the Vice Provost for Faculty Affairs.

Notes on decisions not to reappoint or promote

After a formal decision to terminate a continuing appointment, or not to renew an appointment, or not to promote a member of the Professoriate, at whatever level made, the candidate shall be promptly informed in writing. The grounds shall then be set out in a dated memorandum written in such detail as to explain the negative decision to one not personally familiar with the case. A copy of the memorandum shall then be transmitted to all University officers to whom a positive recommendation would have been transmitted and to the Advisory Board. At the written request of the candidate, submitted to the Provost no later than sixty days after the candidate has been informed of the decision, the full substance of the memorandum shall be summarized orally and/or in writing to the candidate by the Provost or his delegate. With this exception, the memorandum shall be treated with the same confidentiality as comparable items in the faculty member's dossier.

RECOMMENDATION FOR APPOINTMENT TO THE FACULTY
(Revised September, 1975)

(For guidelines to procedures, see *Procedures for Recommending Appointments, Reappointments and Promotions in the Stanford Faculty.)*

TO THE PRESIDENT AND ADVISORY BOARD:

The following is hereby recommended:

_____
(last name) (first) (middle)

for _____
(appointment, reappointment or promotion)

to the rank of _____
(complete professorial title)

in the _____ _____
(Department) (School)

without limit of time, for a term beginning on _____
(date)

and ending on _____, or for a continuing term of appointment. (Strike out inapplicable phrase.)
(date)

The candidate already has tenure; acquires tenure; does not acquire tenure (strike out inapplicable phrases) as a result of this action.

continued on next page

Recommended by _____ _____
(Department Chairman) (date)

_____ _____
(Dean) (date)

Approved for recommendation to the Advisory Board Recommended by the Advisory Board

_____ _____ _____ _____
(Vice President and Provost) (date) (Chairman) (date)

Certification of Presidential approval and Board of Trustees action

_____ _____
(Secretary to the University) (date)

I. BUDGET AND BILLET INFORMATION
(For all new appointments)

Please attach copies of the correspondence between the dean and the Provost regarding authorization of the position for which the candidate is recommended.

II. BIOGRAPHICAL INFORMATION

On a separate sheet, please provide the following:

A. *Identifying data:*
   1. Date and place of birth
   2. Nationality
   3. Visa status: If not a United States citizen, please contact Bechtel International Center to obtain a visa information form. Please attach the completed form to the recommendation.
   4. If English is not the first language of the candidate, does the individual possess an adequate command of English to carry out the intended role?

B. *Complete academic history:*
   1. Colleges and universities attended (include transcripts of graduate and undergraduate records for initial appointment as Assistant Professor)
   2. Degrees with dates received
   3. Scholarships and academic honors
   4. Fellowship and residency training
   5. Other study or research appointments

C. *Complete employment record:*
   List all academic and non-academic positions held; account for all elapsed time since graduation from secondary school.

D. *Public service*

E. *Post-degree honors and awards (including major invited papers and addresses), membership in professional associations, learned societies, etc.*

III. BIBLIOGRAPHICAL INFORMATION

A. If applicable and appropriate:

Please attach a complete list, in bibliographic form, of scholarly publications, grouped as books, monographs, significant book reviews, and articles. (Indicate publisher, date of publication, volume and page numbers of the scholarly journal in which reviews or articles appeared, whether work has been accepted for publication if unpublished, etc.) If pertinent, list other writings, such as abstracts, technical reports, speeches, etc., with an indication of why they are significant.

Attach a statement discussing the two to four most important items on the candidate's list of publications, stating in clear and non-technical language why they are significant. Please indicate the author of this statement.

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Where the candidate's primary endeavor is in an area of performance (studio art, dramatic productions, music) or clinical practice, activities should be listed and discussed in a manner comparable to the information requested above.

B. If "A" is inapplicable:

Please attach a statement from at least one member of the search or evaluation committee who has read the candidate's dissertation commenting on the work. In addition, attach letters from individuals who directed the dissertation, rating the candidate's scholarly work in comparison with that of other scholars at the same point in their careers.

If the recommendation is for the appointment of an Assistant Professor (subject to Ph.D.), a report on the progress and prospective quality of the dissertation should be attached.

C. Attach a description of the candidate's current work and its prospective quality. If the recommendation is for non-tenured promotion or reappointment and there has not been considerable published work beyond the dissertation, a particular effort should be made to evaluate the candidate's unpublished work in progress.

IV. THE CANDIDATE'S ROLE

A. Please describe the specific role the candidate is expected to fill in the school or department. If the recommendation is for appointment or reappointment in the adjunct professoriate (adjunct professor or professor of clinical [subject]), particular attention should be given to a description of the programmatic need which warrants the appointment.

B. State why it is expected that the candidate will be successful in this role.

C. Is the candidate's role significantly involved with other schools or departments? If so, please indicate the extent and the results of consultations with such schools or departments. Please attach letters documenting the opinions of other departments and schools concerned.

D. If applicable and appropriate:

For reappointment and promotion in the Stanford faculty: Please indicate important service in which the candidate has made significant contributions to his or her department or school (e.g., departmental committee assignments, advising of departmental majors, etc.).

In addition, please indicate important institutional service in which the candidate has made significant contributions to the welfare of the University beyond teaching and research in his or her department or school (e.g., major University committee assignments, special assignments, participation in student-related activities, etc.).

For new appointments to the Stanford faculty: Please indicate the extent to which it is expected that the candidate will contribute to the University beyond teaching and research in his or her department or school. Please list significant departmental and institutional service at his or her previous academic post.

V. EVALUATION OF TEACHING

Please indicate the kinds of teaching expected of the candidate and provide specific evidence of strengths and weaknesses in teaching performance in those areas.

If the candidate is presently at Stanford, this evaluation should include a summary of teaching commitments for the past three years, with course titles and numbers, units and enrollments, as well as faculty and student evaluations.

If the candidate is not presently at Stanford, available faculty and student evaluations from the candidate's previous institution should be included.

If the candidate is expected to direct advanced (post-baccalaureate) study, include names and dates of doctoral graduates for whom the candidate was the principal advisor.

VI. SEARCH REPORT

A. *For new appointments to the Stanford faculty:*

1) Describe the program of search that resulted in this recommendation. This description should include:

A list of all outside sources consulted for information and evaluation of possible candidates. Letters sent to such sources requesting information and evaluation should be attached.

continued on next page

A list, in order of priority, of candidates seriously considered for this post and an explanation of the order of priority. If the recommended candidate is not the first choice, explain why higher choices are not being put forward.

Copies of all letters of evaluation of the recommended candidate. Please note that letters of evaluation should be comparative for appointments to the rank of associate professor (nontenured), for appointments involving tenure, and for appointments in the adjunct professoriate.

A list of members of the search committee and a brief report from the chairperson of that committee, including comments from committee members who are familiar with the candidate's scholarly work and teaching or who participated in interviews. The report should include, as well, a brief comment on the stature and competence to judge the candidate of all referees whose judgments have a significant bearing on the recommendation. If the search was performed by one individual, that person should provide the report and include comments from other faculty members who are familiar with the candidate's scholarly work and teaching or who participated in interviews.

2) If the candidate is not a woman or a member of an ethnic minority group included within the Affirmative Action program, indicate which of the finalists do fall within the program and describe the Affirmative Action aspects of the search. A detailed comparison of the recommended candidate with the candidates who fall within the program should be included in the discussion of the order of priority of the finalists (requested above).

B. *For reappointments and promotions resulting in the acquisition of tenure and for reappointments in the adjunct professoriate:*

Describe the program of evaluation that resulted in this recommendation. In particular, this description should include a list of outside sources consulted for information and comparative evaluation of the candidate with others of recognized excellence in the same field and level of career development. Letters sent to such referees and copies of all responses should be attached. The description should include a brief report on the stature and competence to judge the candidate of all referees whose judgments have a significant bearing on the recommendation.

In addition, list members of the evaluation committee and attach a report from the chairperson of that committee, including comments from committee members who are familiar with the candidate's scholarly work and teaching. The report may include, as well, a statement from the candidate expressing his or her views about his or her scholarship, teaching and value to Stanford. If the evaluation was performed by one individual, that person should provide the report and include comments from other faculty members who are familiar with the candidate's scholarly work and teaching.

C. *For nontenured promotion or reappointment of a Stanford faculty member:*

Please indicate why the recommendation is justified. List members of the evaluation committee and briefly describe the program of evaluation, including a report from the chairperson of the committee. This report should include comments from committee members who are familiar with the candidate's scholarly work and teaching. If the evaluation was performed by one individual, that person should provide the report and include comments from other faculty members who are familiar with the candidate's scholarly work and teaching.

For nontenured reappointments, the evaluation should include a discussion of any significant shortcomings in teaching or scholarship.

For nontenured promotions, please list outside sources consulted for evaluation of the candidate and attach copies of letters sent to these referees and their responses. Please include a brief report on the stature and competence to judge the candidate of all referees whose judgments have a significant bearing on the recommendation. (Note: external evaluations are not required for nontenured reappointment, but they should be supplied if available.)

D. *For promotion of a Stanford faculty member already holding tenure:*

Please indicate why promotion is justified at this time. List members of the evaluation committee and describe the program of evaluation, including a report from the chairperson of the committee. This report should include comments from committee members who are familiar with the candidate's scholarly work and teaching. If the evaluation was performed by one individual, that person should

continued on next page

provide the report and include comments from other faculty members who are familiar with the candidate's scholarly work and teaching.

Please list all outside sources consulted for evaluation of the candidate relative to others of recognized excellence in the same field and level of career development. Attach copies of letters sent to these referees and copies of all responses. Include a brief report on the stature and competence to judge the candidate of all referees whose judgments have a significant bearing on the recommendation.

VII. DEPARTMENT AND SCHOOL APPROVAL

A. Discuss below any reservations that may have been expressed concerning the candidate. If any of the outside sources of information and evaluation indicate doubts or reservations, please explain how these have been evaluated.

(Department chairpersons are reminded that if any handicaps which may limit the candidate's capability to meet the responsibilities of the proposed position [e.g., of physical or mental health, or failure to meet the highest standards of personal responsibility] are known to the department, evidence relating to these matters should be submitted in a confidential communication through the dean of the school to the Provost.)

B. What departmental or other faculty groups approved this recommendation?

C. Did all members of the group(s) have an opportunity to vote on this recommendation?

D. Was approval unanimous? _____ If not, please explain below.

end of form

9. **Courtesy Appointments**

Appointments "by courtesy" may be recommended by a department or school for a faculty member in another department or school. Recommendations for courtesy appointments are reviewed by the Provost and the Board of Trustees.

Normally, no commitment of funds, space or other support is involved in courtesy appointments. Such appointments are made when justified by actual contribution of time and effort to recognize important involvement by a faculty member in the academic program of another department or school. Faculty members holding courtesy appointments generally cross-list courses in both the primary and courtesy department. They do not have voting privileges in departments in which they hold courtesy appointments. Close cooperation and working relationships between faculty members in different departments do not require courtesy appointments unless there is substantial interaction with the department. (In contrast, a joint appointment should be considered when a faculty member makes a major contribution in terms of time, effort and programmatic need to the academic program of another department. This contribution should be on a continuing basis and judged to be sufficiently significant for the joint appointee to hold voting privileges in the secondary department which frequently provides some salary and/or other support and possibly shares in tenure commitment.)

An individual faculty member may be appointed "by courtesy" for the duration of that person's current faculty appointment or for a lesser period of time. The courtesy appointment is to be made at the same rank as the person's faculty appointment. Thus, a faculty member may hold an appointment as Assistant Professor of Education, 9/1/75-8/31/78 and an appointment as Assistant Professor, by courtesy, of Psychology, 9/1/75-8/31/78 or 9/1/75-8/31/76. When a tenured Associate Professor holds a courtesy appointment in another department or school, and is promoted to full professor, a new courtesy appointment at the new rank must be processed.

The recommendation for a courtesy appointment is initiated by the courtesy department or school and is submitted to the Provost on page one of the form "Recommendation for Teaching Appointment." The form must be signed by the chairpersons and deans of both the primary department and school and the courtesy department and school. It should be accompanied by a memorandum stating the justification for the courtesy appointment and an up-to-date curriculum vita of the candidate. Reappointments should also be submitted on the form.

10. **Annual Conferences**

Department chairmen should offer annually to confer with each non-tenured member of the regular professoriate in the department, to review his or her performance in teaching and scholarship in the light of the department's and University's criteria for reappointment and promotion.

11. **Close Relatives on the Faculty**

The following is excerpted from a memorandum from the Provost dated April 28, 1971:

"It is the policy of Stanford University to seek for its faculty the best possible teachers and scholars, who are judged to be so in a national (or international) search preceding each appointment and promotion. There are no bars to the appointment of close relatives to the faculty, in the same or different department, so long as each meets this standard.

"No faculty member, department chairman, dean or other administrative officer shall vote, make recommendations, or in any other way participate in the decision of any matter which may directly affect the appointment, tenure, promotion, salary, or other status or interest of a close relative."

12. Annual Faculty Reports

During the fall of each year faculty members are asked to complete an Annual Faculty Report. The report requests information on teaching, advising, research and scholarship, professional service, and publications. Copies of each report are retained by the faculty member, the Department, the School, and the Provost's Office. In addition, University Archives receives a copy of the individual's bibliography.

13. Sabbaticals and Other Leaves of Absence

Sabbatical leave. The purpose of the sabbatical leave program is to make it possible for members of the teaching faculty to take time off from normal academic duties to engage in activities of professional value that could not otherwise be undertaken. Professors, Associate Professors, Assistant Professors, Adjunct Professors (teaching and practice), and Professors of Clinical (subject) are eligible to take sabbatical leave. Full time teaching service at other ranks will be credited toward sabbatical when one is appointed to an eligible rank.

Sabbatical leave may be accrued by regular part-time service at 50 percent time, or more, under the same conditions of eligibility as applied to full-time service. Such leave will be administered within the format of sabbatical leave for full-time faculty.

The following tables indicate eligibility on semester, quarterly, and 11-month calendars. Up to two semesters, three quarters, or one year of sabbatical leave at half salary may be accrued.

DETERMINING LEAVE ELIGIBILITY AND PAY / SEMESTER CALENDAR

Number of Semesters (excluding Summer)	*Number of Semesters Leave*	*R = Rate of Pay During Leave*	*Total % of annual Base Salary to be paid in year of Sabattical**
6	1	50%	75
7	1	58.33	79.17
8	1	66.67	83.34
9	1	75	87.50
10	1	83.33	91.67
11	1	91.67	95.84
12	1 or	100	100
	2	50	50

** For one quarter, (50 + 0.50R)%*

DETERMINING LEAVE ELIGIBILITY AND PAY / QUARTERLY CALENDAR

Service Quarters (excluding Summer)	*Number of Quarters Sabattical*	*R = Rate of Pay During Leave*	*Total % of annual Base Salary to be paid in year of Sabattical**
6	1	50%	83.33
7	1	58.33	86.11
8	1	66.67	88.89
9	1	75	91.67
10	1	83.33	94.44
11	1	91.67	97.22
12	2 or	50	66.67
	1	100	100
13	2 or	54.17	69.44
	1	100	100
14	2 or	58.33	72.22
	1	100	100
15	2 or	62.50	75
	1	100	100
16	2 or	66.67	77.78
	1	100	100
17	2 or	70.83	80.56
	1	100	100
18	3 or	50	50
	2 or	75	83.33
	1	100	100

**For one quarter, (66.67 + 0.333R)%*
For two quarters, (33.33 + 0.6667R)%

DETERMINING LEAVE ELIGIBILITY AND PAY / 11 MONTH CALENDAR

Years Accrued	*Leave Taken*	*Monthly Salary*
2	2 months	full
	3 "	2/3
	4 "	half
3	3 months	full
	4 "	3/4
	5 "	3/5
	6 "	half
4	4 months	full
	5 "	4/5
	6 "	4/6
	7 "	5/7
	8 "	half
5	5 months	full
	6 "	5/6
	7 "	5/7
	8 "	5/8
	9 "	5/9
	10 "	half
6	6 months	full
	7 "	6/7
	8 "	6/8
	9 "	6/9
	10 "	6/10
	11 "	6/11
	12 "	half

Generally, at the time a sabbatical leave is taken, all the faculty member's accrued leave, up to the maximum, must be used. However, sometimes departmental needs preclude the faculty member from taking sabbatical on time. In this case the leave may be postponed for up to two years, with the intervening service "banked" as eligibility toward the next sabbatical leave. Alternately, the sabbatical leave may be split, with no more than two years separating the two periods. In this instance, the intervening service may be applied toward the split leave or "banked" as eligibility toward the next sabbatical. These banking arrangements apply to individuals eligible for sabbatical leave on or after September 1, 1975. Individual circumstances, rather than departmental needs, may preclude a faculty member from taking a timely sabbatical. In this case, the department should make every effort to assist the individual in making timely plans. If, however, the department would not be adversely affected, the chairman may ask the Provost for approval of a "banking" arrangement for the individual.

The salary associated with a sabbatical leave is to make it financially possible for a faculty member to carry out his or her leave program. If the activity being undertaken during the leave is accompanied by a salary or grant that is adequate to pay travel expenses and a normal level of living, then a leave of absence without salary may be granted rather than a sabbatical leave. During sabbatical leave, maximum compensation from the University during any one fiscal year (September 1 to August 31) may not exceed four-thirds of the base salary. For participation in University activities or services such as symposia where the results are published, or for special programs, the faculty member may be paid during the academic year up to a total of five percent of his base salary or up to $1,500, whichever is greater. In all cases where service is to be rendered for compensation during the sabbatical leave, approval must be obtained from the Provost's Office.

Sabbatical leave is not automatic. Sabbatical leave is granted by the President or the Provost following receipt and approval of a request form addressed to the Provost, and bearing indication of approval by the Dean of the School involved. This form includes a statement of purpose and plans for the leave as well as arrangements that have been made for the continuation of the faculty member's instruction, arrangements for the continuation of supervision of his dissertation students and advisees, as well as the amounts of anticipated grants or salaries.

It is expected that a faculty member will continue to serve at Stanford for at least one academic year following the completion of the sabbatical leave; this year should not be a one-year terminal extension of a regular term appointment.

To be counted toward sabbatical leave, service must include a reasonable amount of teaching each year for Stanford. Participation at a Stanford overseas campus or program, or in field work which is an integral part of a department's academic program, is considered as regular service at Stanford. Time spent on leave without salary, absence by reason of illness, and full-time non-teaching service normally are excluded in counting sabbatical leave credit.

Leave of absence with salary. *Short* absences for personal business, illness, jury duty, military training duty, and similar limited absences of faculty members normally are with full salary.

The chairman of the department should have knowledge in advance of an absence that may affect class, laboratory, research, or other commitments.

Leave of absence without salary. It is important that members of the faculty be regularly available to students, participating continuously in the educational program and plans of the University. Leaves of absence in addition to sabbatical leaves can result in a serious reduction in the contribution a faculty member makes to the University and a disruption to the instructional program. Therefore, as reported by the President at the June 1965 meeting of the Academic Council, it is University policy to place some limitations on the granting of leaves of absence without salary.

Leaves of any kind, or combinations of sabbatical or other leaves, may not exceed 24 months of continuous absence from the University.

In situations in which a department may have requests for an unusual number of leaves at any one time, maternity leaves and sabbatical leaves have priority. It is in order for department chairmen and deans to discourage or even refuse requests for leaves without salary in any particular year in which such absences would cause the department to have difficulty in meeting its instructional and research obligations. Exceptions to faculty leave policies will be approved by the President or Provost only in highly unusual circumstances in which there are positive values to the University that clearly justify the possible adverse effects on the campus program, or in which high level national service is involved, or where the leaves involved are of only one or two quarters duration. The handling of special faculty fellowships, such as Ford, Sloan, and Danforth Fellowships, will be considered on an individual basis, in a way that is consistent with faculty leave policies.

The application form for requests for leave of absence without salary is obtained from the Provost's Office. The application calls for details such as:

> The arrangements that have been made for the continuation of the department's program of undergraduate and graduate instruction.
>
> The names of dissertation students being supervised by the faculty member concerned, and the arrangements that have been made for the continuation of their supervision.
>
> The continuation of the faculty member's advising responsibilities.

An application for leave of absence without salary and a Change in Status (SU-2) must be approved by the Department Chairman, the Dean of the School, and the Provost. In making a decision as to whether or not a request for leave of absence without salary will be approved, consideration will be given to previous teaching activities, the faculty member's non-teaching contribution to the educational program of the University, his scholarly productivity, number of Ph.D.'s previously completed

under his supervision, previous leaves without pay, and any special circumstances involved.

During sabbatical leave or leave with or without salary, a faculty member may not take a regular faculty or administrative position at another institution of post-secondary education. The Provost may approve exceptions to this policy under special circumstances.

14. Junior Faculty Leave Program

Sabbatical anticipation. As presently written, the University's sabbatical policy provides for a sabbatical leave of one quarter at full pay or two quarters at half pay after 12 quarters of full-time duty (excluding supplemental summer duty). Effective 1972-73, the 12-quarter accrual can be "borrowed" and used after nine quarters *for nontenured professors who elect to take the leave during their fourth year of appointment.* For eligible individuals who use the 12-quarter elibility prior to having served 12 quarters, future sabbatical eligibility will begin again to accrue in the thirteenth quarter and thereafter will accumulate at the regular rate.

Junior faculty research leaves. During the five years between 1973-74 and 1977-78, the University will be able to provide approximately 15 fully paid one-quarter leaves to nontenured professors in their fourth or fifth year of appointment. Application should be made, through the Dean of the school, during the fall term preceding the year in which the junior faculty research leave, if awarded, will be taken. Award recipients will not accrue time toward sabbatical leave during the quarter supported by the award. Anticipatory sabbaticals and leaves of absence without salary, with or without external support, may be combined with this opportunity to provide a wide range of leave options.

15. Tenured Faculty Development Awards

During the three years, 1975-76, 1976-77 and 1977-78, the University will be able to provide approximately 15 awards to tenured faculty who desire the opportunity to change scholarly fields of concentration within their general disciplines. The awards will supplement sabbatical funds, enabling the recipient to take a full year's leave at full salary.

Application should be made through the dean of the school during the fall term preceding the year in which the award, if granted, would apply. The application will usually be the culmination of planning for the change of field by the faculty member, the department chairperson and the dean. Further information is available from the Provost's Office.

16. Conflict of Interest

Faculty owe an overriding professional allegiance to the University, and they must be alert to the possibility that outside obligations, financial interests, or employment can affect the objectivity of their decisions as members of the University community. The University strongly urges individuals to be sensitive to potential conflict-of-interest situations. In situations where outside obligations have the potential for conflict with the faculty member's allegiance and responsibility to the University, the faculty member is urged to discuss the situation with his or her department chairperson and/or dean.

17. Professional and Outside Activities

It is the policy of the University to encourage research, publication, and other professional activities by members of the faculty. It is expected that these activities will be for a purpose that will enhance the professional stature of the participants. Activities should not be undertaken, however, that might limit the full-time effort of faculty members in their primary responsibilities to the University.

Publications. It is the policy of the University to guarantee to its faculty their historic freedom of scholarly publication. The costs of preparing for publication may be borne by the individual, a foundation or agency, a research institute, or other source. The Committee on the University Press has a limited reserve of University funds that it may allocate to subsidize some publications by members of the Stanford faculty. The Committee and the Stanford University Press offer counsel and assistance on publishing matters.

The University does not accept agreements for research support which contain provisions restricting the scholar's right to disseminate the results of his research in the manner, place, and time of his choosing. Exceptions to this policy shall accord with the Academic Senate's guidelines of April 24, 1969, on secrecy in research. (See page 44.)

Professional affiliations. Faculty members who belong to professional associations and societies are encouraged to participate actively. The resources of the University are available to assist with presentations, papers, conferences, workshops, and seminars.

Outside consulting work. During academic quarters of service to the University, consulting work by a member of the faculty is limited to the equivalent of one day per week. Time spent on such consulting must be in addition to rather than a part of the normal full-time effort expended by the faculty for the University. If there is any possibility of interference with primary obligations the faculty member should request a leave of absence.

This policy applies throughout the University; in addition, there are University policies applicable to individual schools or academic units, e.g., those rules which apply to full-time faculty members in clinical departments of the Medical School.

Academic Council members who do outside consulting at a rate less than or equal to 12 days per quarter during periods of full-time University service, or proportionately more if service is part-time, should be considered to have a *prima facie* case for compliance with the policy. Allowance is made for the equivalent of one month's "vacation" even if the appointment is full time for the whole year.

It is recognized that there are circumstances where more consulting time than 12 days per quarter is consistent with meeting the faculty member's obligations to the University. In such circumstances, it is incumbent on the faculty member to keep careful records demonstrating that those obligations have been met. There probably are as many ways to do this as there are circumstances under which the need will arise. For example, "vacation time" might be used

for consulting; in this case, it would be necessary to show that the same "vacation time" was not used at other times of the year. The degree to which the work supports University goals and objectives also may be considered in evaluating the propriety of consulting commitments above 12 days per quarter, as long as existing University commitments are taken into account.

The key point is that Academic Council members consulting more than 12 days per quarter must be in a position to demonstrate to the satisfaction of the University that their normal obligations have been met. For those whose salaries are charged directly or indirectly (e.g., via departmental administration) to sponsored projects, the burden of proof is not only with respect to the University but possibly also by the University to the sponsor.

Academic Council members who have reason to believe they will be consulting more than 12 days in any quarter of full-time University service, or a proportionally greater amount for part-time service, should discuss the matter with their department chairmen and obtain approval on a prospective basis. This discussion should involve more than an assurance that normal obligations will be met; the method of documentation should also be considered and any salary allocation to a sponsored project reviewed. The department chairmen have a responsibility for raising serious issues with their dean, and the dean with the Provost, on a prospective basis if at all possible. Partial or complete leave without salary is a possible remedy in cases where an intellectually meaningful project will conflict with normal University duties.

For part-time faculty, proration of consulting time for which the *prima facie* case can be presumed should be calculated on the base of 60 days per quarter for full-time employment. Persons being paid at three-ninths of academic year salary for the summer quarter will be considered at full time, two-ninths will be two-thirds time, etc.

It is desired that the nature of the consulting work will in no way detract from the prestige of the University or the professional stature of the faculty member. The facilities of the University may not be used in connection with compensated outside work.

In order to avoid conflicts between the obligations of a faculty member to the University and the terms of consulting or other agreements with a third party, the following (or similar) clause should be included in such agreements: In the event of any conflict between the provisions of this agreement and the terms and conditions of the employment of consultant by Stanford University (including, without limitation, the provisions of any agreement between an external organization and Stanford University for research or other services or undertaking with which consultant may be associated), the latter shall prevail.

18. Campus Partisan Political Activities

The following is excerpted from a memorandum issued to Deans and Department Chairmen June 19, 1970, by the Vice-President and Provost:

"... let me spell out certain limitations on the kinds of activities which can take place from Stanford facilities and with Stanford support. The sources of these limitations are two. First we must continue to observe with care the role that the University properly can play in society. Second, we must abide by the laws of the United States and the State of California that govern Stanford's activities as an educational trust and as a tax-exempt institution. . . .

"These limitations in no way inhibit the expression of political views by any individual in the University community. Nor do they forbid faculty, students, and staff from joining with others in support of candidates for office or in furtherance of particular political causes. There is no limit on discussion of political issues, and there is no bar to teaching about political techniques.

"But the University is prohibited from intervening in any manner on behalf of any candidate for public office. What this means, quite simply, is that no group supporting candidates for office, no matter what their political persuasion, can use University space or facilities or receive University support.

"The University also is prohibited from devoting any substantial part of its activities to the carrying on of 'propaganda' or otherwise attempting to influence legislation. Further, it would be inconsistent with the very nature of a university to engage in political activities, or to support such activities, on behalf of any cause not directly related to the educational enterprise. . . .

"Following are some general guidelines which should assist in preventing the involvement or apparent involvement of the University in political campaigns or activities:

"1. Neither the name or seal of the University or of any of its schools or institutions should be used on letters or other written material intended for political purposes, such as the solicitation of funds for political purposes or activities, the solicitation of endorsement of candidates for public office, or support for proposed legislation not directly related to the educational enterprise.

"2. No University office and no faculty or staff member's office should be used as a return mailing address for the solicitation of funds for political purposes, the solicitation of endorsement of candidates for public office, or support for proposed legislation.

"3. In political correspondence, the University title of a faculty or staff member if used should be used only for identification and only when accompanied by a statement that the individual is speaking for himself and not as a representative of the University.

"4. University duplicating machines, computers, telephones, or other equipment or supplies may not be used for political or other non-University purposes, nor may any office employee of the University be asked to perform tasks in any way related to political activities while on regular duty.

"5. University space and facilities may not be used in any manner inconsistent with the foregoing. Space and facilities may otherwise be used by groups such as registered voluntary student organizations in accordance with established University procedures. Those spaces and facilities include:

"a. Use of public places, such as White Plaza, for tables, speeches, and similar activities;

"b. Intermittent use of on-campus meeting rooms;

"c. Use of auditoriums and similar space for public events, including speeches by political candidates;

"d. Provided that such use is not for the support of a political candidate or candidates, the assignment of space

"1) in ASSU-controlled areas available for voluntary student activity

"2) in academic or academically related (e.g., residential and administrative) areas so long as in the judgment of the administratively responsible party the space is not required for academic or academically related purposes. . . ."

B. PARTICIPATION IN UNIVERSITY GOVERNANCE

1. The Academic Council

The powers and authority of the Academic Council are set forth in the *Articles of Organization of the Faculty of Stanford University*, passed in 1904, with subsequent amendments, and in the *Charter of the Senate of the Academic Council of the Faculty of Stanford University*, passed in 1968. The powers of the Academic Council are exercised through the actions of the Council, the Senate, Committees, the Advisory Board, and departmental faculties. The Academic Council is vested with the authority to discuss and decide upon matters of policy within the province of the Faculty, subject to the power of disapproval of the Board of Trustees.

The Academic Council consists of all and only members of the Professoriate and those officers of the academic administration currently specified in the Articles of Organization of the Faculty as amended to date.

The Professoriate consists of Assistant, Associate and Full Professors and the Adjunct Professors or, in the case of teachers of clinical medicine, Professors of Clinical (subject).

In addition holders of the following offices of academic administration are *ex officio* members of the Academic Council: President, Chancellor, Vice-President and Provost, Vice-President for Medical Affairs, Dean of Undergraduate Studies, Dean of Graduate Studies, Dean of a School, Vice-Provost, Associate Provost, Director of University Libraries, Director of the Stanford University Press, Dean of Admissions, Registrar, Dean of Student Affairs, Director of Stanford Overseas Studies Programs, Director of the Center for Information Processing, Director of Financial Aids, Director of the Summer Session, Dean of the Chapel, and Academic Secretary.

Twenty percent of the membership of the Academic Council constitutes a quorum.

Emeriti faculty are Senior Members of the Council with privileges of the floor and of service on committees but not with the right to vote or hold office.

The Academic Council holds one regularly scheduled meeting in each of Autumn, Winter, and Spring Quarters, when reports are made by the President of the University and the Chairman of the Senate. Special meetings of the Council may be held at the call of the President or by action of the Council. In addition, special meetings of the Council shall be called by the Academic Secretary in accordance with the provisions of the Senate Charter, Article V, Section B.

Advisory Board of the Academic Council. The Advisory Board consists of seven members of the rank of Professor, one from each of the seven Advisory Board Electoral Groups. All recommendations for appointments, promotions, and dismissals, for the creation of new departments or chairs, etc., must be submitted by the President to the Advisory Board. The Advisory Board is also privileged to make such recommendations to the President, regarding policy, as it may decide by vote to be expedient, but no recommendation for appointments, promotions, or dismissals may originate with the Advisory Board.

The Advisory Board's role in conducting faculty discipline hearings is described in the Statement on Faculty Discipline (see page 16). The Advisory Board's role in handling grievances referred to it under the Statement on Academic Freedom is described in the Statement on Academic Freedom (see page 17). The Advisory Board's role in conducting hearings on faculty grievances other than those arising under the Statement on Faculty Discipline and the Statement on Academic Freedom is described on page 19.

For the purpose of elections to the Advisory Board, the members of the University faculty are divided into seven Advisory Board Electoral Groups, which represent a rearrangement of Senate Electoral Units.

Terms of office are three years, beginning on September 1 following election, one member being elected from each of the seven Electoral Groups. The pattern of elections is based on cycles of three years. In the first year of a given cycle, members are elected from each of three groups; in the second and third years of the cycle, respectively, members are elected from each of two groups. Consecutive service is limited to two terms (or fraction thereof), but a person is eligible for reelection at the third annual election after the expiration of any period of service. Major administrative officers such as the following are not eligible: the President, Provost, Vice-Presidents, Vice-Provosts, Associate Provosts, Dean of Graduate Studies, Dean of Undergraduate Studies, Deans of Schools, Dean of Student Affairs, Director of Stanford Overseas Studies Programs, Director of Center for Information Processing, Dean of Admissions, Registrar, Director of the Health Service, Director of the University Libraries, Director of Athletics, Director of Financial Aids, and Director of the University Press.

2. The Senate of the Academic Council

In the Spring of 1968 the Academic Council approved the Charter for a Senate to be composed of 53 Representatives elected by the Hare System of Proportional Representation and, as *ex officio* non-voting members, the following officers of academic administration: the President, the Provost, the Dean of Graduate Studies, the Dean of Undergraduate Studies, the Deans of the seven Schools, and the Academic Secretary.

In the allocation of representation, each School is a major constituency. The Food Research Institute and the Stanford Linear Accelerator Center are also separate

constituencies, as is the group of officers of academic administration who are members of the Academic Council forming the Special Group constituency. The Senate may create from time to time other major constituencies as conditions warrant. Approximately one-half of the Representatives are allocated to constituencies on the basis of students registered in those constituencies and the remainder on the basis of members of the Academic Council from each constituency.

Terms of Representatives are two years. Each major constituency which is entitled to more than one seat elects approximately one-half of its Representatives each year. The number and composition of electoral units within which the allotted Representatives are elected were decided upon pursuant to a decision taken at a meeting open to all Academic Council members who were identified with that constituency for electoral purposes.

Every fifth year the Senate is required to reapportion the representation of the Academic Council in accordance with the principles of the original apportionment. Within the five-year period the Senate may add Representatives if any major academic entity is created, and may permit any major constituency to change the number and composition of its electoral units if organizational changes within the constituency warrant.

The Charter, in effect, delegates the full functions of the Academic Council to the Senate, subject only to extensive provisions for review and referendum. Amendments to the Charter must be concurred in by a majority of members voting in a referendum submitted to members of the Academic Council. The Senate is required to meet at least once each month from October through June.

All decisions of each Senate meeting and the votes by which the decisions were taken must be reported in writing to every member of the Academic Council within seven days after the meeting. Any decisions of the Senate shall be made an agendum for an Academic Council meeting if requested by petition, signed by at least (a) one-third of the Representatives, or (b) 50 members of the Academic Council, or (c) two-thirds of the Academic Council members in any major constituency, certifying that they or their constituency will be seriously and adversely affected by the decision. The petition must be presented to the Academic Secretary within three weeks after the decision is taken. The Council may take any action it deems appropriate on the Senate's decision specified in the notice of convocation, subject to the requirement that for every decision taken at an Academic Council meeting which would set aside or modify a Senate decision a mail referendum must be submitted to all members of the Academic Council asking whether they approve or disapprove the Council decision. If in that referendum a majority of those voting approves the Council decision, that action stands as the official decision of the Council; if not, the previous action of the Senate stands as the official decision of the Council.

Similarly, on petition of at least one-third of the Representatives, a mail referendum shall be submitted to all members of the Academic Council, asking whether they approve or disapprove of the Senate decision specified in the referendum. Such a petition must be presented to the Academic Secretary no later than three weeks after the decision in question is taken. In the absence of a petition for review or for referendum which results in contrary action by the Council, the original decision of the Senate stands.

If, on a given Senate action, petitions for both a mail referendum and an Academic Council meeting are presented, a meeting of the Academic Council shall be convoked to adopt a ballot for the mail referendum on the question under review; the meeting shall not otherwise determine the question; and the mail referendum shall be held. Members of the Senate shall have the option of presenting written arguments of reasonable length, either on their own behalf or on behalf of individual constituents in their electoral group, which arguments shall be delivered with the referendum to the Academic Council members.

Officers of the Senate. The Charter of the Senate states, "The Senate shall elect a Chairman from its Representatives, to serve a term of one year. He shall be eligible for reelection to a second term provided he continues to be an elected member of the Senate. The Chairman shall preside over the Senate and chair the Steering Committee. In his absence these duties shall be performed by another member of the Steering Committee."

The Charter states that the Academic Secretary to the University shall serve *ex officio* as secretary of the Senate, of the Steering Committee, and of the Committee on Committees, keeping minutes of the meetings, issuing calls for meetings, and performing other duties in keeping with his position as secretary.

Standing Committees of the Senate. The Charter of the Senate prescribes two standing committees. The Steering Committee is elected annually by the Senate and the Committee on Committees is appointed annually by the Steering Committee.

The responsibilities of the Steering Committee are listed in the Charter of the Senate and include the agenda for meetings of the Senate, communications with individuals and bodies external to the Senate, and the appointment of a Committee on Committees.

The functions of the Committee on Committees, also listed in the Charter, are: to recommend to the Senate the creation and dissolution of standing and *ad hoc* committees; to recommend to the Senate the charge to each of its committees; in consultation with the President, to appoint members to each committee, and to designate the chairman of each; and to nominate candidates in the election of the Chairman and Steering Committee.

3. Committees

Committees of the Academic Council. The Senate establishes standing Committees of the Academic Council whose members are appointed by the Senate's Committee on Committees (CoC). The standard term for appointment is three years, with eligibility for reappointment after an interim of one full year. In all cases, students have been appointed to these committees by the CoC on nomination of the student Senate Committee on Nominations. Student appointments are for one year. Subcommittees and

subgroups are created, appointed, and charged by their respective parent committees in accordance with Senate Rules and the charge of the respective parent committee.

(1) Committee on Academic Appraisal and Achievement
  Subcommittee on Academic Standing, Petitions, and Exceptions
  Subcommittee on Evaluation of Teaching
  Gores and Dinkelspiel Awards Selection Panel
  The Rhodes-Marshall Panel
  Subcommittee on University and Departmental Honors
(2) Committee on Foreign Study Programs
(3) Committee on Graduate Studies
  Subcommittee on the Graduate Special Programs
(4) Committee on Libraries
(5) Committee on Research
(6) Committee on Undergraduate Admissions and Financial Aids
(7) Committee on Undergraduate Studies
  Subcommittee on Advising
  Subcommittee on Credit Review
  Subcommittee on Entering Students

Committees of the Senate. The Charter of the Senate prescribes two standing committees. The Steering Committee is elected annually by the Senate and the Committee on Committees is appointed annually by the Steering Committee. (See page 34).

At present the only ad hoc Senate body is the Committee of Tellers.

University Committees. The CoC Report on the Committee Structure of the University, as accepted by the Senate on September 25, 1969, and subsequent Senate action on April 29, 1971, provides for standing University Committees to be appointed by the President. Members of the Academic Council are appointed to these Committees on nomination of the faculty Senate Committee on Committees, student members on nomination of the student Senate Committee on Nominations, and staff members on the initiative of the President. The standard term for appointment of faculty members is three years, with eligibility for reappointment after an interim of one full year.

(1) Committee on Athletics, Physical Education, and Recreation
(2) Committee on Computation Facilities
(3) Committee on Education and Employment of Women in the University
(4) Committee on Faculty and Staff Affairs
(5) Committee on Land and Building Development
(6) Committee on Parking and Transportation
(7) Committee on Public Events
  Subcommittee on University Lectures
(8) Committee on Services to Students

Presidential Commissions. Presidential Commissions receive from the President specific instructions, either for action or to provide advice, and are usually presumed to be temporary. They are responsive to the President as to duration and membership, and they report to him and only through him to other groups. It has been the practice of the President to appoint faculty members on nomination of the faculty Senate Committee on Committees and student members on nomination of the student Senate Committee on Nominations. Search committees to fill important vacancies are considered Presidential Commissions.

(1) American Bicentennial Advisory Group
(2) Commission on Investment Responsibility
(3) Commission on University Budget Priorities

Administrative Panels. For the most part, Administrative Panels are responsible directly to the President. However, on occasion a Panel may report to the President through a designated representative. Administrative Panels also may be established to oversee the implementation of policies formulated by Committees of the Academic Council or by University Committees, Panels bring together mostly officers from several branches of administration sharing a common problem or interest or responsibility and, as needed, faculty and other members of the University whose expertise bears on the area of concern. It has been the practice of the President to appoint faculty members on nomination of the faculty Senate Committee on Committees and student members on nomination of the student Senate Committee on Nominations.

(1) Panel on External Affirmative Action
(2) Panel on Health and Safety
(3) Panel on Human Subjects in Research
(4) Panel on Laboratory Animal Care
(5) Panel on Privacy of Information
(6) Panel on Radiological Hazards
(7) Panel of Reviewing Officers for Level III of Grievance Procedure for Graduate Students Employed in Academic Functions at Stanford University
(8) SLAC Coordinating Committee
(9) University Library Council
(10) Panel on the University Press

Legislative and Judicial Bodies for Student Conduct. The nature and functions of Legislative and Judicial Bodies for Student Conduct are specified by the Legislative and Judicial Charter of 1968, as amended June 13, 1975, by the Board of Trustees, which further specifies the relations between them.

(1) Committee of Fifteen
(2) Stanford Judicial Council
(3) Student Conduct Legislative Council

4. Faculty Membership on Trustee Committees

The four standing committees of the Board of Trustees are Committee on Academic Affairs, Committee on Finance and Development, Committee on Investments, and Committee on Land and Buildings; the Committee on Nominations is a special committee. On nomination of the President of the University, the Board of Trustees appoints faculty members to each of these committees and students to all except the Nominations Committee. In making these nominations the President asks for the advice of the Committee on Committees of the faculty Senate and the Committee on Nominations of the student Senate, respectively.

C. FACULTY AFFIRMATIVE ACTION PROGRAM

The Vice-Provost for Faculty Affairs is the University's Faculty Affirmative Action Officer and has the following duties:

To aid the faculty in carrying out searches for female and ethnic minority faculty members.

To identify departments and schools of the University which are underutilizing women and ethnic minority group members on their faculties, and to assist such departments and schools in setting goals and timetables for the elimination of underutilization.

To manage the Faculty Affirmative Action Fund.

To develop faculty affirmative action policies for the Provost.

III. ACADEMIC OFFICERS AND PROGRAMS OF INSTRUCTION

A. THE SCHOOLS AND DEANS

The program of instruction in the University is organized primarily in the following schools:

Graduate School of Business
School of Earth Sciences
School of Education
School of Engineering
School of Humanities and Sciences
School of Law
School of Medicine

Each school is administered by a dean (the Dean of the School of Medicine is also Vice-President for Medical Affairs) and staff. Deans of Schools are responsible, both academically and administratively, to the Vice-President and Provost. With the exception of Law, Business, and Education, each School is organized into departments, the Chairmen of which are responsible to their respective Deans. Undergraduates are not admitted into the Schools of Business, Education, and Law.

The Departments and programs of the Schools are as follows:

School of Earth Sciences
- Geology
- Geophysics
- Applied Earth Sciences
- Petroleum Engineering

School of Engineering
- Aeronautics and Astronautics
- Chemical Engineering
- Civil Engineering
- Electrical Engineering
- Engineering-Economic Systems
- Industrial Engineering
- Materials Science and Engineering
- Mechanical Engineering
  - Applied Mechanics, Division of
  - Design, Division of
  - Thermosciences, Division of
- Operations Research

School of Humanities and Sciences
- African and Afro-American Studies, Undergraduate Program in
- Anthropology
- Applied Physics
- Art
- Asian Languages
- Biological Sciences
  - Biophysics Program
  - Marine Biology and Oceanography
- Chemistry
- Classics
- Communication
- Comparative Literature
- Computer Science
- Drama
- East Asian Studies
- Economics
- English
- French and Italian
- German Studies
- History
- Humanities Special Programs
- International Relations, Special Offerings for Undergraduates
- Language Laboratory
- Latin American Studies
- Linguistics
  - English for Foreign Students
- Mathematics
- Modern Thought and Literature
- Music
- Philosophy
- Physics
- Political Science
- Psychology
- Religious Studies
- Russian and East European Studies, Center for Slavic Languages and Literatures
- Social Sciences (Special Program)
- Sociology
- Spanish and Portuguese
- Statistics

School of Medicine
- Anatomy
- Anesthesia
- Biochemistry
- Cardiovascular Surgery
- Dermatology
- Family, Community, and Preventive Medicine
  - Biostatistics
  - Clinical Social Work
  - Health Services Administration
  - International Health
  - Preventive Medicine

Genetics
Gynecology and Obstetrics
Medical Microbiology
Medicine
  Ambulatory Medicine
  Cardiology
  Clinical Pharmacology
  Gastroenterology
  Hematology
  Immunology
  Infectious Diseases
  Metabolic Diseases and Endocrinology
  Nephrology
  Oncology
  Respiratory Medicine
Neurobiology
Neurology
Pathology
Pediatrics
  Chronic Diseases
  Developmental Biology and Laboratories
  Pediatric Clinic
  Pediatric Medicine
Pharmacology
Physiology
Psychiatry
Radiology
  Diagnostic Radiology
  Nuclear Medicine
  Radiation Therapy
  Radiobiology Research
Surgery
  General Surgery
  Neurosurgery
  Ophthalmology
  Orthopedics
  Otolaryngology
  Hearing and Speech Sciences
  Plastic and Reconstructive Surgery
  Thoracic Surgery
  Urology
Physical Therapy, Division of

B. THE OFFICES AND DEANS OF GRADUATE AND UNDERGRADUATE STUDIES

1. Dean of Graduate Studies

The Dean of Graduate Studies is an academic dean responsible for the general administration of the Graduate Division. His specific responsibilities include:

a. Administering the rules and regulations governing advanced degrees (professional degrees excluded), graduate admissions, and financial aid.

b. Admitting students to the Graduate Division and to the University Division. Such admissions are ordinarily made only on the recommendation of a department or a degree-granting program. Admission to the status of non-matriculated graduate student is a function vested in his office.

c. Allocating graduate fellowships.

d. Approving the appointments of teaching assistants.

e. The general welfare of graduate students and postdoctoral fellows.

f. Hearing graduate student grievances which are not resolved by the student's department and School Dean.

g. Supervising the Bechtel International Center.

The Dean provides limited research assistance for faculty in disciplines where research funding is particularly scarce. He is assisted by a staff of Associate Deans, Assistant Deans, and administrative aides.

The Committee on Graduate Studies, on which the Dean serves *ex officio*, is charged with formulating policy concerning the substance and presentation of graduate education and with reviewing the operations of the Office of Graduate Studies with respect to the implementation of such policy.

2. Dean of Undergraduate Studies

Dean of Undergraduate Studies is an academic dean responsible for those academic aspects of undergraduate education which cross-cut particular schools or departments. These responsibilities include:

a. Overseeing academic programs and services for undergraduates which cross-cut schools and departments: the advising program, the Program of Seminars for Entering Students, the Honors Tutorial Program, interschool programs (Human Biology; Physical Sciences; Values, Technology and Society; and the Program in Urban Studies), extra-departmental Programs (the Undergraduate Special Program, Stanford Workshops on Political and Social Issues, and the Student Center on Innovation and Research in Education), the Learning Assistance Center, the Undergraduate Research Opportunities Program, the *Stanford Review*, and some aspects of residential education. The Academic Information Center is an agency of the Dean of Undergraduate Studies which has responsibility for many aspects of the advising program, including preprofessional advising, the publication of *Course Abstracts*, oversight of the Program of Individually Designed Majors and monitoring undergraduates' progress toward meeting their degree requirements.

b. Attempting to obtain adequate resources for undergraduate education such as monetary support, faculty instructional time and administrative time, and general institutional commitment and rewards.

c. Attempting to insure that the University provides adequate recognition of undergraduate education in making decisions about appointments, promotion, and tenure.

d. Delineating or commenting upon issues in undergraduate education and proposing solutions.

e. Providing an institutional ear for undergraduates, faculty, or others who wish to make proposals concerning undergraduate education.

f. Hearing undergraduate academic grievances which are not resolved by the student's department and the School Dean.

g. Serving as a locus for educational innovation by providing financial support for student academic projects which do not fall under the purview or guidelines of departments or schools and for innovative teaching projects by faculty, by assisting in curricular development; through the Dean's Fund for Projects in Undergraduate Education, by facilitating the development of interschool and interdisciplinary programs; by involving the faculties of the professional schools in undergraduate education; and by helping to dispense information to the Stanford community about educational innovation here and elsewhere; and by overseeing the Fairleigh Dickinson Symposium Fund.

h. Administering the University-wide bachelor's degree requirements.

Policy in the areas administered by the Office of the Dean of Undergraduate Studies is set by the Committee on Undergraduate Studies. The Dean is an *ex officio* member.

C. OTHER PROGRAMS OF INSTRUCTION OR RESEARCH

The following programs of instruction and research are not organized within Schools of the University.

- Athletics, Physical Education, and Recreation
- Center for Interdisciplinary Research
  - Stanford Transportation Research Program
  - Stanford Program in Telecommunications and Instructional Technology
- Center for Materials Research
- Center for Research in International Studies
  - Center for East Asian Studies
  - Center for Latin American Studies
  - Center for Russian and East European Studies
  - Committee on African Studies
  - Western European Studies Program
  - Inter-University Center for Japanese Language Studies in Tokyo
  - Inter-University Program for Chinese Language Studies in Taipei
- Computation Center
- Food Research Institute
- Graduate Study (Special Opportunities)
- Graduate Studies Special Programs
- W. W. Hansen Laboratories of Physics
  - High Energy Physics Laboratory
  - Microwave Laboratory
- Hoover Institution on War, Revolution, and Peace
- Human Biology
- Institute for Mathematical Studies in Social Sciences
- Intercollegiate Center for Classical Studies in Rome
- Interschool Majors
- Learning Assistance Center
- Physical Sciences
- Seminars for Entering Students
- Space Science
- Stanford Linear Accelerator Center
- Stanford Workshops on Political and Social Issues (SWOPSI)
- Student Center for Innovation in Research and Education (SCIRE)
- Undergraduate Overseas Centers
  - Stanford in Britain
  - Stanford in France
  - Stanford in Germany
  - Stanford in Italy
- Undergraduate Specials
- Undergraduate Writing Program
- Urban Studies
- Values, Technology, and Society

The Overseas Studies Office administers with the Departments involved the following programs: Stanford German Program in Bonn, Stanford Spanish Program in Salamanca, and the Intercollegiate Center for Classical Studies in Rome.

IV. ORGANIZED RESEARCH AND EXTERNALLY SUPPORTED PROJECTS AND PROGRAMS

A. STATEMENT OF PRINCIPLES CONCERNING RESEARCH

The following "Statement of Principles Concerning Research" was adopted by the Senate of the Academic Council on December 16, 1971:

The transmission of knowledge and conduct of scholarly inquiry are central and complementary functions of the University. They can be carried out effectively only if scholars are guaranteed certain freedoms and accept corresponding responsibilities. The Senate of the Academic Council of Stanford University hereby affirms the following principles concerning research:

The individual scholar should be free to select the subject matter of his research, to seek support from any source for his work, and to form his own findings and conclusions. These findings and conclusions should be available for scrutiny and criticism as required by the University's *Policy Guidelines on Secrecy in Research.* [See page 44.]

Research techniques should not violate established professional ethics pertaining to the health, safety, privacy, and other personal rights of human beings or to the infliction of injury or pain on animals.

The University should foster an environment conducive to research. Where, because of limited resources, the University cannot support all research demands, it should allocate space, facilities, funds, and other resources for research programs based on the scholarly and educational merits of the proposed research, and not on speculations concerning the political or moral impropriety of the uses which might be made of its results.

The above principles circumscribe the University's role with respect to University-connected research. They in no way diminish, and indeed they reinforce, the individual researcher's personal responsibility to assure that the sources of funding for his research, and its perceived applications, are consistent with his own judgment and conscience.

B. COMMITTEE ON RESEARCH

The following is excerpted from the "Charge to the Committee on Research," as revised by the Senate of the Academic Council on May 27, 1971:

"General Charge

"The Committee on Research, subject to the Charter and Rules of the Senate, shall formulate policy on research, including policy governing the procedures to be used in the University for reviewing and approving externally sponsored projects, proposals, and awards. The Committee shall review the operations of the University's principal officer for Research with respect to the implementation of such policy.

"Specific Duties

"The Committee shall receive the recommendations of the University's principal officer for Research, and shall determine:

"a. The standards of acceptability for proposals or awards tendered by principal investigators or sponsoring agencies, with respect to prevailing policy on research approved by the Senate of the Academic Council;

"b. The administrative system for deciding the status of individual proposals or awards asserted to be in conflict with prevailing policy on research approved by the Senate of the Academic Council;

"c. Policies governing the Committee's consideration of questions or complaints raised by research personnel regarding the administration of externally sponsored projects.

"Membership

"The Committee shall consist of eleven voting members including seven members of the Academic Council, one research staff member who is not a member of the Academic Council, and three students. The University's principal officer for Research and the deputy shall be *ex officio* members of the Committee without vote."

C. VICE-PROVOST FOR RESEARCH

The Vice-Provost for Research is the principal officer for research. He reviews all research activity at the University and encourages adequate research in all fields. He supervises the Food Research Institute, the W. W. Hansen Laboratories of Physics (High Energy Physics Laboratory, Microwave Laboratory, and Synchrotron Radiation Research Program), the Center for Materials Research, the Center for Interdisciplinary Research, and the Institute for Mathematical Studies in the Social Sciences. He bears policy responsibility for research in other administrative units of the University.

D. SPONSORED PROJECTS OFFICE

The Director of Sponsored Projects reports to the Associate Vice-President for Business and Finance and the Vice-Provost for Research. The Manager of the Sponsored Projects Office and his staff review all proposals for externally supported research, development, training, and education after they have been approved by the cognizant Dean; certain staff members are authorized by the Board of Trustees to execute contracts and grants on behalf of the University.

The following is excerpted from the Director's memorandum, "Grant and Contract Administration," July 2, 1968:

"Under the University's practice of decentralized responsibility for research and training programs, the Principal Investigator is responsible for the administration and conduct of the program outlined in his proposal, within the terms and conditions of the grant or contract and within University and School policies. In carrying out his responsibilities, the Principal Investigator or his authorized representative is free to correspond and otherwise deal directly with the sponsoring agencies in matters which concern the grant or contract, insofar as such dealings do not change the terms, conditions, or funding of the grant or contract, and do not require the contracting officer's or granting agency's approval to put into effect.

"Since the grant or contract is awarded to the University, which is responsible corporately and financially for it, matters affecting the terms of the agreement, actions requiring contracting officer or granting agency approval, required reports concerning such matters as property, [inventions and] patents, finance and expenditures, and proposals to amend the grant or contract, should be handled through the [Sponsored Projects Office]. Not only is this necessary and practical from the University's standpoint, but in most cases it is required by the sponsoring agency as well."

E. ACADEMIC POLICY ON SPONSORED RESEARCH PROJECTS OR PROGRAMS

1. Sponsorship

Research programs may be supported by sponsors external to the University or by internal University funds.

2. Principal investigators

All members of the Academic Council are invited to act as *principal investigators* on research projects or programs. The principal investigator is responsible for the overall scientific and technical direction of a project, including its scope, goals, methodology, selection of personnel, allocation of resources, and accountability to sponsors. Principal investigatorship is limited to members of the Academic Council including the ranks of Assistant Professor, Associate Professor, Professor, Adjunct Professor, and Professor of Clinical (subject).

Special permission by the Vice-Provost for Research is needed for emeriti professors to act as principal investigators. If such permission is granted, the professor emeritus must be recalled to active duty.

3. Definition of a Sponsored Project

A sponsored project is defined as any of the following:

a. Any research or scholarship project where the sponsorship pertains to work on a specific line of inquiry;

b. Instruction, public service, or other projects or programs where one or more of these conditions hold:

(1) A line-item budget detailing expenditures by activity and function must be submitted as part of the proposal.

(2) A detailed fiscal report or audit may be required at the end of the period of sponsorship; and there is either an indication that certain costs may be disallowed or that the unexpended balance of funds may have to be returned to the sponsor.

(3) Specific agreements regarding levels or items of output or achievement of specific performance targets are contemplated as a condition of obtaining sponsorship. This includes cases where the University becomes obligated to supply a report(s) as a consideration for funding.

(4) The agreement with a sponsor includes terms covering the disposition of property, patent rights, copyrights, or rights and data.

c. Construction projects or acquisition of equipment or facilities where any governmental audit is involved or where detailed agreement with the sponsor is envisioned.

d. Unrestricted gifts or grants from private parties, or those restricted only to a general area or academic discipline and for which no detailed budget proposal or reporting are required, are not considered to represent sponsored projects or programs. Approval is still required for such proposals from the dean or other cognizant academic administrative officer.

4. Proposals

Proposals for external support should be submitted to the Sponsored Projects Office after having been approved by the appropriate department head, dean, or laboratory or institute director.

Proposals to government agencies will be forwarded by the Sponsored Projects Office. Proposals to private parties (including foundations) will be reviewed by the Sponsored Projects Office and forwarded directly or sent to the appropriate University Officer for transmittal, depending on the particular circumstances.

a. Proposals for external support should include the following considerations:

(1) Educational Component–The proposal should involve students, either with or without charge to the project. An educational component is normally included, usually through provision for the training and support of students.

(2) Secrecy–The proposal must not be expected to result in a grant or contract whose terms will violate the guidelines adopted by the Academic Senate on April 24, 1969 (Senate Report No. 21), and which are reprinted below. Under no circumstances will the University accept projects which violate these guidelines.

(3) Presence at Stanford–The proposal should not require faculty members to be away from the campus for extended periods of time. If they do, the benefits accruing to Stanford must be shown demonstratively to outweigh this disadvantage.

(4) Commitment of Time–The amount of effort committed by each faculty member must be consistent with his other academic duties. Regular faculty members normally are not expected to commit significantly more than half of their total efforts to sponsored research activities.

b. Policies Pertaining to Rights and Safeguards

(1) Human Subjects–Proposals involving the use of human subjects must comply with the University's assurances on file with the government which require a prior review and approval by the Behavioral Sciences Subcommittee or the Medical Subcommittee of the Administrative Panel on Human Subjects and Research. Such proposals should be submitted to either of these panels at least 30 days prior to the submission of the proposal to the prospective funding agencies.

(2) Care of Laboratory Animals–If experimental warm-blooded animals are to be used in the conduct of the research, the principal investigator must comply with certain legal standards. An Administrative Panel reviews procedures and the director of the Medical School division of Animal Medicine visits all University animal research areas to monitor the care and facilities provided for the animals.

(3) Radiation Hazards–Investigators planning to undertake experiments or instructional programs involving the use of materials and devices which may pose a radiation hazard should consult with the director of health physics and the appropriate local control committee while the proposal is being prepared.

(4) Safety and Health–An experiment or project must comply with the Federal and State occupational, safety, and health acts, and other legal safety regulations. If the projected activity raises unusual safety or health considerations, the principal investigator should consult with the University's safety and health manager who may refer the proposal to the administrative panel on health and safety for further review and advice.

(5) Patent Agreement–If the proposal is expected to result in an agreement which has patent terms the University will be obligated to fulfill, a patent agreement must be signed or already be on file for all individuals participating in the project. Information and forms may be obtained from the Patent Affairs Manager in the Sponsored Projects Office.

(6) Copyrights and Rights and Data–It is a general policy of Stanford University to claim copyright in cases where, under copyright law, it is the author of a work. Under copyright law, the University is the author and entitled to both the common law and statutory copyrights. If the proposal is expected to result in an agreement which requires the University to fulfill specific terms or restrictions in this area, a clearance must be obtained from the Patent Affairs Manager.

(7) Insurance–If the project involves any property or liability insurance questions, the investigator should contact the University's Director of Insurance/Risk Management. All projects involving aircraft, watercraft, or operations outside of the USA should have an insurance review.

c. Policies Pertaining to University Commitments

Projects involving any of the commitments listed below require prior approval from the department chairperson and the dean. Additional consultation may be required depending on the nature of the commitment as described below..

(1) New Staff–If the proposal requires additional staff which may result in an eventual charge to the University's Operating Budget, special Provost's Office approval is required.

(2) Space–If the project cannot be housed within existing departments or laboratory space, requirements for additional space must be consistent with extant plans in the sense that they are part of a construction program which has the approval of the Facilities Planning Office and the Provost's Office. This includes plans for minor remodeling for which funds have been requested. Projects contemplating the rental or lease of off-campus space should be reviewed with the Land Resources Office.

(3) Cost-Sharing–All proposals for grants which require University cost-sharing must be accompanied by a cost-sharing worksheet submitted to the Sponsored Projects Office at the time the proposal is submitted. Details regarding cost-sharing procedures are outlined in Vice-Provost for Research William Massy's memo to deans and department heads of July 25, 1975.

(4) Conferences–If the proposal involves conferences, arrangements, dates, and rates should be discussed with the Manager of Conferences in the Housing Management Office.

(5) Subcontracts–Proposals which contemplate large or complex subcontracts for specialized equipment or services should be reviewed informally with the Purchasing Department to ensure that the proposed undertaking is appropriately characterized and supported.

(6) Computer Services–Arrangements for purchase of computer hardware, software, or outside computer services must have the approval of the Associate Provost for Computing before the proposal can be submitted and/or the purchase requisition placed.

d. Student-Initiated Research

The University is pleased to consider undergraduate student-initiated research proposals to external sources of support. Such projects must have a faculty advisor and the consent of a department or laboratory to provide administrative and logistical support. The Lyman-Miller memorandum of March 11, 1970, provides more detail and is available in the Sponsored Projects Manual.

e. Internally Funded Research

The University maintains a small Research Development Fund (RDF) to support principal investigators' "pilot" projects, or to support investigators who are changing the direction of their research interests for projects which show a likelihood of obtaining long-term external follow-on

funding. Projects awarded RDF grants are subject to the same policies as are applicable for externally sponsored projects.

As the RDF is supported through gifts to the University, the level of RDF funding available in a given year depends upon the level of gift receipts.

RDF proposals should be made through the department heads and the dean. Further information about the Research Development Fund may be obtained from the Sponsored Projects Office.

F. POLICY GUIDELINES ON SECRECY IN RESEARCH

Based upon recommendations from the Academic Council Committee on Research Policy, the Senate, on April 24, 1969, adopted *Policy Guidelines on Secrecy in Research* as follows:

Resolved:

1. That the principle of openness in research–the principle of freedom of access by all interested persons to the underlying data, to the processes, and to the final results of research–is one of overriding importance. Accordingly it is the decision of the Senate that that principle be implemented to the fullest extent practicable, and that no program of research that requires secrecy (as hereafter defined) be conducted at Stanford University, subject to the exceptions set forth in Paragraph 4 of this Resolution.

2. That a research program shall be regarded as requiring secrecy (a) if any part of the sponsoring or granting documents that establish the project is not freely publishable, or (b) if there is a reasonable basis for expectation that any documents to be generated in the course of the research project will be subjected by an outside sponsor to restrictions on publication for a period in excess of that reasonably required for the sponsor to ascertain whether information he is entitled to have treated as confidential would be disclosed by publication, or (c) if access will be required in the course of the project to confidential data so centrally related to the research that a member of the research group who was not privy to the confidential data would be unable to participate fully in all of the intellectually significant portions of the project.

3. That the rules adopted by the Academic Council on September 29, 1967, are hereby amended and, as amended, are reaffirmed:

a. No research on a thesis or dissertation should be undertaken if, at the time the topic is set, there is any substantial possibility that it will lead to a secret thesis or dissertation.

b. No secret thesis or dissertation should be accepted as the basis for a degree unless, in the judgment of the Committee on the Graduate Division, the imposition of secrecy could not reasonably have been foreseen until the work was so far advanced that modification of the thesis topic would have resulted in substantial inequity to the student.

c. Scholarly activities not accessible for scrutiny by the entire Advisory Board should not be considered in connection with appointments, reappointments or promotions.

d. The University should enter no contract and accept no grant to carry out research if the grant or contract restrains the freedom of the University to disclose (1) the existence of the contract or grant or (2) the general nature of the inquiry to be conducted or (3) the identity of the outside contracting or granting entity or (4) the research results; provided that clause (3) shall not apply either (a) to anonymous gifts or grants that do not call for the performance of specified lines of inquiry or (b) to research grants or contracts from individuals or non-governmental entities who request anonymity out of a justifiable motivation to protect individual privacy.

4. That a program of research, appropriate to the University on other grounds, shall not be regarded as unacceptable by reason of secrecy merely because one or more of the following circumstances exist:

a. In a program of research involving the examination, through interview techniques or otherwise, of a living human being, reasonable provision may be made to protect the rights of that individual to privacy.

b. In a program of research the purposes of which would be significantly advanced by access to information generated elsewhere which had been subjected to security classification, provision may be made for security clearance and for access to that information on the part of one or several of the participating investigators provided that the classified information is peripheral to the research program in the following sense: the relationship between the classified data and the overall research endeavor must be sufficiently remote so that (1) a member of the research group who did not hold a security clearance would nevertheless be able to participate fully in all of the intellectually significant portions of the project; and (2) there is no substantial basis for an expectation that any part of the final results of the research, or any but a trivial part of the research processes, will be subject to restriction on publication more enduring than those described in Paragraph 2.

c. In a program of research sponsored by an outside entity, provision may be made for a short delay in the publication of research results, the period of delay never to exceed one year, if (1) the sponsor has a bona fide intention to apply for a patent covering applications of the research in a country whose laws establish either (a) a "race-to-file" patent system, or (b) that patentability would be destroyed by publication earlier than as provided in the sponsorship arrangement; and (2) the delay provided for does not exceed that reasonably required to accomplish the sponsor's patenting objective in that country.

d. If, in a program of research, an outside person or entity has made available to the investigator confidential information, provision may be made to preserve confidentiality and for a short delay in the publication of research results during which time the information source may examine the proposed publication in order to assure that the investigator has not disclosed, intentionally or unintentionally, any portion of the confidential information supplied; provided that any such provision for delay must contain assurances from the information source

that he will conduct his review as expeditiously as possible, that he will not attempt to thwart publication for any reason except to protect confidential information previously supplied, and that he will indicate with specificity any sentence or sentences which he contends constitute such a disclosure.

e. If, in a program of research, private papers, documents, diaries or analogous materials have been provided to the investigator, provision may be made to preserve the confidentiality of those materials for the purpose of protecting the individual privacy of the author, or of the addressee, or of the immediate family of either the author or the addressee.

5. This policy shall be reviewed at least annually by the Committee on Research Policy in one of its meetings. This meeting and others primarily devoted to considering a revision of research policy shall be announced publicly through the University calendar and other suitable means.

G. CONFLICT OF INTEREST (See page 31.)

The University strongly urges individuals to be sensitive to potential conflict-of-interest situations. If there is doubt about the propriety of a given relationship, the individual involved is expected to consult with his Department Chairperson, Dean, or with the Vice-Provost for Research.

H. PATENT POLICY

The Stanford Board of Trustees on April 14, 1970, adopted the following general policy on patents:

"Except in cases where other arrangements are required by contracts or grants for sponsored research or where other arrangements have been specifically agreed upon in writing, it shall be the policy of the University to permit employees of the University, both faculty and staff, and students to retain all rights in inventions made by them."

Guide Memo 75 sets forth details of implementation of this policy, including options for the development of patent income through the University's Technology Licensing Manager, and information regarding the requirements for the execution of patent agreements.

Assistance in complying with invention reporting and disclosure requirements of sponsors as well as general information regarding patent matters is available through the Patent and Copyright Manager in the Sponsored Projects Office.

I. COPYRIGHT POLICY

The objectives of the University's copyright and administrative procedures are to enable the University to 1) maintain traditional incentives for scholarly productivity and dissemination of the same through publications or other appropriate means, 2) comply with the law and carry out its contractual obligations, 3) protect the rights and equities of individuals and the University with respect to copyright protection, 4) establish principles and procedures for equitably sharing income derived from materials under University copyright, and 5) guard the imprimatur of the University by providing for responsible control of the use of the University's name in the notice of copyright.

1. It is the general policy of Stanford University to claim copyright in cases where, under copyright law, it is the author of a work. Under copyright law the University is the author and entitled to both common law and statutory copyright where:

a. A University employee creates a copyrightable work upon the order of the request of the University in the course of discharging the obligations of his employment, or

b. A person acting as an independent contractor creates a copyrightable work upon the order or request of the University.

2. In cases (other than noted above) where creation of copyrightable work involves the substantial use of University personnel, facilities, supplies, or equipment, it is the policy of the University that the ownership of copyright and rights and equities in the work be negotiated between the University and the individual author(s).

3. The University shall have the right to claim title for copyright in cases where such a claim is necessary to comply with the requirements of an outside agency.

4. Copyright in a work published by the University under contract with an author may be taken in the name of the University, provided the use of the University's name has been approved by established procedures (see Guide Memo 76.1).

Guide Memos 76 and 76.1 set forth details of this policy and administrative guidelines. Assistance is available from the Staff Counsel's office in Encina Hall, the Manager of Patent and Copyright Affairs in the Sponsored Projects Office, and the Technology Licensing Manager.

J. SPONSORED PROJECTS INFORMATION SERVICE

The Information Service, in the Sponsored Projects Office, provides information to faculty regarding federal agencies and foundations, as well as other research funding opportunities. This might include identifying specific agency or foundation individuals with whom the professor should deal, assistance in the preparation of a proposal to insure its applicability to a particular agency, and arranging opportunities for interested faculty members to meet with appropriate program officers. In addition, the Information Service publishes a periodic Faculty Research Directory listing the research interests of Stanford faculty members.

Detailed information about organized research at Stanford can be found in the Sponsored Projects Policy Manual, available to all department, division, laboratory, and institute officers through the Sponsored Projects Office.

K. POSTDOCTORAL SCHOLARS

Because they are selected for advanced training, Postdoctoral Scholars are viewed as advanced students and not as employees. Postdoctoral Scholars, ordinarily persons who have taken the doctoral degree within the prior three years and who expect to engage in specific advanced

training for a period ordinarily no longer than three years, are to be registered as nonmatriculated students and are entitled to student benefits. The Dean of Graduate Studies has general responsibility for certifying Postdoctoral Scholars. For further information see: W. F. Miller on "Postdoctoral Scholars," 8/13/75; J. M. Carlsmith, et al., on "Procedures for Processing Postdoctoral Scholars," 8/13/75; and W. F. Miller, "Postdoctoral Scholars–an Amplification," 9/15/75.

V. TEACHING RESPONSIBILITIES, GRADING, AND ACADEMIC STANDING

A. FORMAL INSTRUCTION

It has always been, and must necessarily be, the policy of the University to insist that formal instruction on the campus be given only by persons holding academic appointments. Thus, regular staff personnel and members of the research staff of the University, who occasionally offer formal instruction, must hold teaching appointments for the period of their teaching service in addition to their regular appointments in the University.

Faculty appointments (regular and adjunct) are reviewed by the department, school, Provost, and Advisory Board and are made according to the forms and procedures reprinted on pages 20-28 of this Handbook. Other teaching appointments are reviewed by the department, school and Provost and are made according to the forms and procedures, "Recommendation for Teaching Appointments," available from the Provost's Office.

B. RACIAL, ETHNIC, AND SEX-BASED PRINCIPLES IN EDUCATIONAL ACTIVITIES

As a general principle of usually overriding force, there can be no racial, ethnic, or sex-based distinctions in any aspect of the University's educational activities.

Generally, there are no circumstances or sets of circumstances which would justify limiting enrollments in a course or program to members of one race, ethnic or sex group. While a course may be of particular interest to one group, that provides no overriding basis for the exclusion from a course or program because of race, ethnic or sex origin.

The creation of discussion sections in a course along exclusionary lines also runs afoul of the foregoing principle except in what can only be the few cases where such divisions are justified on educational grounds. And, even in those few cases, those divisions should persist only so long as they are necessary for the particular educational purpose which justifies them.

Deans and department chairpersons should periodically review the course and program offerings in their units to ensure that they comply with these guidelines. Any course or program which involves, or any course or program which contemplates sectioning or division along racial, ethnic or sex-based lines, for any period of time must be approved by the cognizant dean. It is crucial that any faculty member contemplating such a special arrangement discuss his or her plans and their rationale with the department chairperson and dean prior to setting up any such arrangement. Department heads should also take care to review copy for "Courses and Degrees" to assure themselves that proposed courses are consistent with this policy.

These same guidelines should be followed with respect to all other aspects of the University's educational activities.

C. RELIGIOUS HOLIDAYS

Although religious holidays, as such, are not observed as official Stanford University holidays, it has long been the University's policy that every reasonable effort should be made to avoid the imposition of penalty or disadvantage upon a student for tardiness in the meeting of his or her academic obligations as the result of absence in the fulfillment of his or her religious obligations.

The Subcommittee on Academic Standing, Petitions and Exceptions of the Committee on Academic Appraisal and Achievement (C-AAA) regularly honors individual requests for the adjustment of scheduled commitments, such as registration deadlines, initial meetings of classes for which a student has preregistered, and final examinations, in accordance with this policy.

Members of the faculty are encouraged to arrange their courses to the extent possible in such a way that an individual who finds it necessary to be absent because of his or her religious commitments will not be placed at a disadvantage.

A faculty member whose class conflicts with his or her own religious obligations may reschedule the class at a time mutually convenient to him or her and the members of the class.

A calendar of religious holidays which fall during term-time, other than on Sundays and on national holidays, is available from the Registrar's Office.

D. GRADING SYSTEM

(On April 17 and May 29, 1975 the Senate of the Academic Council approved amendments to the grading system. These revisions have been integrated into the grading system policy statement, appearing in prior editions of the *Faculty Handbook* and are underlined in the text which follows.)

1. The following paragraphs apply to all branches of Stanford University, graduate and undergraduate, except as hereinafter specifically provided:

a. The faculty (permanent or temporary) member responsible for a course shall be responsible for the evaluation of student course work. Where appropriate, the instructor may delegate his authority but not his responsibility in this matter. Within the regulations set forth he is the ultimate judge of grades in his course.

b. For work in graded courses, *A* denotes exceptional performance, *B* superior performance, *C* satisfactory performance, and *D* minimal pass. When, at the request of a student, the instructor in a course makes no distinction between exceptional, superior, satisfactory, and minimal pass with respect to that student's performance, + denotes *Pass* (i.e., not less than minimal pass). When, by decision of the instructor in a course, no distinction between exceptional, superior, satisfactory, and minimal pass is made with respect to *any* student's performance, *P* denotes *Pass*. The only passing and recorded grades used for course work are *A, B, C, D,* +, and *P*. In courses involving extensive term paper or other work which the student has completed on time but which the instructor has not had time to evaluate adequately, the instructor may report *L*, meaning *Pass letter-grade-to-be-reported*, or •, meaning no report (i.e., grade to be reported). Instructors are encouraged to use *L* whenever possible. When an instructor determines that a student needs further time to complete satisfactorily a given course, in accordance with requirements set by the instructor, this may be temporarily indicated with an *I* on the transcript. (To avoid ambiguity instructors may report the incomplete as *Inc.*) No units are granted for courses in which the student receives an *I* until the course is completed. The incomplete grade should be restricted to cases where a student has satisfactorily completed a substantial portion of the course work. The time limit for satisfactory completion of the course work shall be determined by the instructor, but ordinarily should not be more than one calendar year from the date of the final examination in the course in question. The sole academic penalty for failure to complete a course satisfactorily is the loss of credit toward graduation or eligibility therefor. Tuition fees are not recoverable in such cases. The symbol *NC* (meaning no credit) should be used by instructors in lieu of a grade whenever a student, for whatever reason, is not entitled to credit. This will be reflected on quarterly grade slips for counseling purposes but will not become a part of the permanent record.

c. The routine computation of a Letter Grade Indicator (LGI) for each student should be abandoned.

d. The student's option to attempt to earn simply a grade of + is available in any course, subject only to the consent of the instructor and the department concerned. The instructor's option to assign no grade other than *P* for performance that is satisfactory or better is similarly available in any course, subject to the consent of the department concerned, or to the consent of the extradepartmental or interdepartmental committee or official authorizing the course. There is no limit applicable to all students on the number of + and/or *P* courses that a student may take. (The deadline for choosing a pass grade is the same as the deadline for adding courses.) A department may limit the number of *Pass* courses to count for a major program. The *Pass* options are intended to relieve the pressure on students for achievement in grades. The *Pass* options in no way imply less or different course requirements than those required of students who elect evaluation of their work in a given course in terms of the standard grading structure. A grade of *Pass* indicates academic achievement of not less than *D*.

e. Students are permitted to drop a course at any time up to twenty-four hours before the final examination, with concurrent loss of credit.

f. All grades must be reported within ninety-six (96) hours after the time and day reserved for the final examination. In cases where instructors report an *L* or • grade, they must report the letter grade before the start of the next quarter and the final grade will appear on the student's transcript one quarter later. In the case of graduating seniors in the spring quarter final grades must be reported within 24 hours of the end of the examination period.

g. Continuation courses shall be reported as *N*, indicating that the student's course has not yet reached completion. Continuation courses need not continue at the same unit level, but the grade for all quarters of such a course must be the same.

h. The back of the grading sheet shall carry only information explaining the significance of the various forms of entries described herein and a calendar for required submission of grades. No description of a *curve* system shall appear on grading sheets, and instructors are discouraged from awarding grades according to any predetermined distribution system.

i. *Plus* and *minus* may be used as modifiers with letter grades. If they are used, they will be recorded.

j. A student who takes a course in a school other than the one in which he is matriculated is subject to the grading system of the school in which he takes the course.

2. *School of Law.* Since September, 1969, there have been two grading systems in the School of Law. One is the preexisting letter-grade system. Under the second system, academic performance of a level in the range of C- (1.7) and above on a 4.0 scale is reported as *K* (credit); performance in the range of D (0.9) to C- (1.6) is reported as *RK* (restricted credit); and performance in the range of D- (0.8) or below is reported as *NK* (no credit). No more than ten units of work in the *RK* range may be counted in satisfaction of the unit credit requirement for graduation.

3. *Graduate School of Business.* Effective September, 1971, the following grade scale applies to the Business School only:

Grade	*Definition*
H	Distinction or honors. Work considered to be of excellent quality (markedly superior).
P	Pass. Work that satisfies all of the basic requirements of the course.
U	Unsatisfactory. Work that does not satisfy the basic requirements of the course. In the case of a required course, the instructor must determine whether the student will need to repeat the course.

In addition, the use of *plus* and *minus* for the *P* grade is authorized.

4. *School of Medicine.* The following grades are used in reporting on the performance of the students in the M.D. Program:

Pass indicates that the student has demonstrated to the satisfaction of the department or teaching group responsible for the course that he has mastered the material taught in the course.

Fail indicates that the student has not demonstrated to the satisfaction of the department or teaching group responsible for the course that he has mastered the material taught in the course.

Incomplete indicates that extenuating medical or personal circumstances have prevented the student from completing the course requirements. This grade shall be given when requested by the student with the prior approval of a Dean for Student Affairs in the School of Medicine.

A *Fail* grade can be cleared by repeating and passing the particular course or by other arrangements prescribed by the department or teaching group. An *Incomplete* grade can be made up in a manner specified by the department or teaching group within a reasonable time; if the deficiency is not made up within the agreed-upon time the *Incomplete* grade will become a *Fail* grade. The opportunity to clear a *Fail* grade or an *Incomplete* grade cannot be extended to individuals who are not registered or eligible to register as students in the M.D. Program.

5. The Registrar regularly should collect and make public grade distributions in the various schools of the University. In addition, the appropriate deans and department chairmen should receive reports of grade distributions in individual courses along with an indication of appreciable deviations from relevant University distributions.

E. CORRECTION OF ERROR IN GRADING

When handed in, end-quarter grades are final and not subject to change by reason of a revision of the instructor's judgment; nor are passing grades to be revised on the basis of a second trial (e.g., a new examination or additional work undertaken or completed after the date of the end-quarter report). Changes may be made at any time to correct an error in computation or transcribing, or where part of the student's work has been unintentionally overlooked.

Grade Change Notice forms are kept by department secretaries or may be obtained from the Registrar's Office. When completed, these should be routed through department secretaries for direct delivery to the Registrar's Office.

F. PASS OPTION

Students may, if they choose, undertake courses on a *Pass* basis. Arrangements to do this are to be made early in the quarter (by the deadline for adding courses or units—up to the last four weeks of the quarter including finals) with the instructors concerned. There is no limit on the number of *Pass* units which a student may have toward the 180 units required for graduation and courses taken on this basis may be used in satisfaction of writing and distribution requirements. Departments determine whether courses taken on a *Pass* basis can be used in satisfaction of departmental major requirements. The Registrar should publicize widely both the regulations concerning the pass option and the approach of each quarter's final deadline for choosing it.

G. ACADEMIC STANDING (probation and suspension)

All undergraduate students are expected to make normal progress toward completing 180 units in four years (12 quarters). The procedures described below are designed to identify students who are not making minimal progress in order that they can obtain the assistance of their academic advisers and other members of the staff as quickly as possible.

Units are granted for courses completed with grades of *A*, *B*, *C*, *D*, *Pass* (+ or *P*), and *L*. Courses graded *N* are counted provisionally as units completed, provided that the student enrolls in the continuing segment of that course the following quarter. When the course is completed the student receives the units for which he enrolled. No units are granted for courses in which the student receives an *I* or * until the course is completed. All academic quarters (except for a Summer Quarter's registration of 11 units or fewer) in which the student is registered shall be counted as a quarter of enrollment for the purpose of academic standing unless the Subcommittee on Academic Standing, Petitions, and Exceptions acting upon a petition for fewer than 12 units stipulates otherwise.

Probation. A student who fails to complete at least 36 units of work in his or her most recent three quarters of enrollment at the University or a student who fails to complete at least nine quarter units of work in his or her most recent quarter of enrollment at the University shall be placed on probation (a warning status) unless the Subcommittee, in its quarterly review of individual academic records, decides not to place the student on probation.

A student shall be removed from probation when he or she has completed at least 36 units of work in his or her most recent three quarters of enrollment at the University or at the discretion of the Subcommittee as a result of a review of individual records.

Provisional Registration. Students on probation who fail to complete a minimum of 12 units of credit in any quarter of registration shall lose their registration privilege unless they apply for and receive the status of provisional registration on petition to the Subcommittee. If provisional registration is granted it will be accompanied by a clear and precise statement of the conditions under which it is given. In making its determination as to whether to grant the provisional registration the Subcommittee shall consider the written petition of the student, and, unless impossible or inappropriate, the statement of the student's academic adviser and the statement of a member of the University Counseling staff.

Suspension. Students who are not granted provisional registration or are eligible to apply for provisional registration and do not do so, or who fail to fulfill the provisions of their provisional registration shall be placed on academic suspension.

Students on suspension for the first time may apply by petition for provisional registration to return to the University. Provisional registration will normally be granted, at the earliest, for the academic quarter which begins at least 11 months after the date of suspension.

Students who have returned to the University after having been on academic suspension and are again placed on suspension may apply by petition for provisional registration to return to the University. Provisional registration will normally be granted, at the earliest, for the academic quarter which begins at least 35 months after the date of suspension.

Notification. Written notices that students are on probation or suspension or that they have been granted provisional registration shall be sent to the student and to the student's academic adviser as soon as practicable after the close of the academic quarter in question.

Petitioning. Any questions concerning academic standing or the petitioning process should be referred to the Academic Standing Advisor, Room 131, First Floor, Old Union, 497-2049.

H. GRADE POINTS

Grade points are no longer computed. A student's academic eligibility to continue is determined by progress toward graduation, not by plus or minus grade points (see Academic Standing, above).

I. DEAD WEEK

Dead Week consists of the week immediately preceding final examinations Autumn, Winter, and Spring Quarters, and four days immediately preceding examinations Summer Quarter. During this period, no quizzes or examinations should be given, and no musical, dramatic, and athletic events involving compulsory student participation should be scheduled. No classes should be held on the day before finals, when finals start on Friday (Spring Quarter).

J. END-QUARTER EXAMINATIONS

Examinations are part of the process of education at the same time that they are a means to measure the student's performance in course work. Their structure, content, frequency, and length are to be determined in accordance with the nature of the course and the material presented in it, subject only to the limitations contained herein.

Great flexibility is available to instructors in the choice of types of examinations. Among these are, for instance, in-class written essay examinations, take-home examinations, oral examinations, objective examinations, papers, projects. Instructors may use any type or any combination thereof, guided only by the appropriateness of the type of examination for the material upon which the student is being examined.

Final in-class written examinations, when they are given, are governed by the following regulations:

1. A three-hour period is reserved during examination week for the final examination in each course of more than two units. *This period must be used but not necessarily in its entirety, if an in-class written examination is given.* In courses with extraordinary meeting times where ambiguity might exist as regards the period reserved for the final examination, the schedule should be clarified and students informed no later than the end of the second week of the quarter.

2. Examinations in one- or two-unit courses must be completed by the end of the next-to-last week of classes.

When the final examination or its appropriate substitute is not an in-class examination (for example, when an instructor chooses to employ a take-home examination, a paper, or project in lieu of an in-class examination), the schedule and format of the final examination, or its appropriate substitute, shall be made known not later than the end of the second week of the quarter and, if changed subsequently, may be only an option to the plan originally announced by the instructor.

For additional information, see the *Time Schedule.*

VI. COMPENSATION, RETIREMENT, AND BENEFITS

A. IDENTIFICATION CARDS

The Personnel and Employee Relations Department issues University identification cards to faculty members each year. They identify the bearer when using library facilities and services, and for athletic events and facilities, and events that are restricted to the Stanford community. The libraries, upon request, issue courtesy cards for spouses of faculty members.

B. SALARY PAYMENT

Paychecks are delivered to members of the faculty in their departments on the seventh and twenty-second of each month or on the preceding working day if payday falls on a weekend or a holiday. As a convenience, your paycheck may be deposited directly to your account in an area bank. Arrangements should be made with the Payroll Office. On paydays you will receive a statement of earnings and deductions instead of a check.

Each paycheck shows the amount of federal withholding tax, California withholding tax, State Disability Insurance tax (SDI), and Social Security tax deducted from your salary. Aside from the required taxes, the only paycheck deductions made are those which you authorize in writing, such as benefit and insurance plans. A payroll deduction continues until you change or cancel it.

C. SUPPLEMENTARY COMPENSATION

1. A faculty member appointed for three academic quarters of service may be eligible for additional compensation from the University:

For teaching summer quarter in addition to three regular quarters, 20 percent of the annual base salary will be paid to regular summer faculty for a full teaching load. For a half-time load, 10 percent annual base salary will be paid. Certain regular faculty members may from time to time teach during the summer quarter as one of their regular three quarters of instructional duty. No additional salary is paid in such cases. The Summer Session periodically reviews salary levels for visiting summer faculty; currently, the Summer Session will pay up to $3,600 for a full teaching load and up to $1,800 for a half-time load.

For service rendered during the fourth quarter (e.g., full-time research, or combination of teaching and research full time) a faculty member may be paid a total of one-third the annual base salary. For less than twelve weeks or less than full time, pro rata amounts may be earned.

For instruction in special programs during the fourth quarter which require special courses and special preparation, faculty members may be paid up to one-third of their base salary.

For participation in University activities or services such as symposia where the results are published, or for special programs, the faculty member may be paid during the academic year up to a total of five percent of his base salary or up to $1,500, whichever is greater. These supplementary payments must be approved by the Provost's Office.

During sabbatical leave a faculty member is not permitted to render service for more compensation than the equivalent of one-half of his annual base salary. Any service to be rendered during sabbatical leave is subject to approval by the Provost's Office.

D. TOTAL COMPENSATION

1. Total compensation from the University during the fiscal year (September 1-August 31) may not exceed four-thirds of the base salary, plus five percent of the base salary. Any exceptions must be approved by the Provost's Office.

E. TIAA-CREF RETIREMENT ANNUITY PLAN

Professors, Associate Professors, Adjunct Professors, Professors of Clinical (subject), and those assistant professors who are age 35 or older with appointments for 50 percent time or more for two or more successive quarters are eligible to enroll in the TIAA-CREF Retirement Annuity Plan upon initial appointment. After one year of Stanford service assistant professors under age 35 with appointments for 50 percent time or more for two or more successive quarters are eligible to enroll in the plan. Enrollment is voluntary.

Retirement annuities purchased under the Teachers Insurance and Annuity Association (TIAA) Plan provide a fixed dollar amount of retirement income, while annuities purchased under the College Retirement Equities Fund (CREF) Plan provide for variable retirement income that reflects the general level of the economy because of common stock investments. Participants may invest the full premium in either TIAA or CREF, or divide it between them in 25 percent increments.

Both Stanford and the faculty member contribute to the TIAA-CREF Plan. The University currently contributes 10 percent of base salary, minus $4.50 per month (an offset made since 1951 for the amount of Social Security tax at that time). The faculty member's contributions are made through either a payroll deduction or a salary reduction. If the faculty member elects payroll deduction, 5 percent of base salary minus $4.50 per month is deducted from each paycheck after income taxes are withheld. The other option is for the faculty member to contribute through a salary reduction of 6 percent of base salary. The salary reduction option results in lower current income for tax purposes.

Taxes are deferred until actual receipt of the income at a later time. Regular base salary, before reduction, is used for Social Security and other staff benefits. A faculty member must work 50 percent time or more to qualify for payroll deductions, salary reductions, and contributions from the University.

At the time of retirement the faculty member chooses from several "settlement options." If the faculty member leaves the University before reaching retirement age, he or she may continue participation through direct payments to the plan or by being employed at another institution having a TIAA-CREF Plan. If no further payments are made, annuity income based on past contributions is available. Withdrawal of the employee's contributions is subject to limitations stated in the annuity contract issued to each participant.

Further details are available from the Benefits Office of Personnel and Employee Relations.

F. VOLUNTARY TAX-DEFERRED ANNUITY PROGRAMS

Faculty members who are appointed 50 percent time or more for six months or longer may participate in the Voluntary Supplemental Tax-Deferred Annuity Program, whether or not enrolled in the basic TIAA-CREF Annuity Plan. Stanford makes available through TIAA-CREF and the Prudential Insurance Company of America programs for voluntary annuities on a tax-deferred basis, which can supplement, but not replace, the basic TIAA-CREF Retirement Annuity Plan.

In accordance with U.S. Internal Revenue Service regulations, faculty members may voluntarily enter into a salary reduction agreement authorizing Stanford to purchase an annuity for the employee with the amount of the salary reduction. The amount of the salary reduction is excluded from currently taxable income. Taxes will become payable when the annuity income is received by the employee.

To participate in this program the faculty member must complete, and the University accept, a "Salary Reduction Agreement" and an "Annuity Premium Authorization." The upper limit for tax-deferred contributions by an individual is established by Federal statutes. Faculty members who participate in a Voluntary Supplemental TDA Program take full responsibility for accurate computation of the maximum exclusion allowance and the tax consequences of a tax-deferred annuity program. The University recommends that employees participating in this program obtain private legal and tax counsel.

Further information is available from the Benefits Office of Personnel and Employee Relations.

G. SOCIAL SECURITY RETIREMENT BENEFITS

Social Security retirement payments depend on average earnings during working years and age when payments start. At age 65, those who are eligible for retirement payments under Social Security are automatically eligible for hospital insurance. Enrollment in the medical insurance plan for a monthly premium is optional. A faculty member who works for 10 or more years under Social Security qualifies for the retirement payments and health insurance benefits.

Employees pay Social Security taxes and earn credits toward coverage regardless of the duration of appointments or the number of hours worked. The University pays an equal amount of taxes to Social Security.

Applications for Social Security payments should be made at least two months before it is desired such payments start. Questions regarding Social Security should be directed to the local Social Security Administration office at 400 Cambridge Avenue, Palo Alto, 327-3881.

H. EARLY RETIREMENT PROGRAM

A member of the faculty with tenure (as defined in the Statement of Policy on Appointment and Tenure) who desires to retire before reaching the mandatory age may, with the approval of the President of the University, be retired after attaining age 60, provided the faculty member has at least 15 years of part- or full-time service in one or more of the following applicable categories:

Professor, Associate Professor, Assistant Professor (or Assistant Professor subject to Ph.D.), Adjunct Professor, Professor of Clinical (subject), Associate Professor of Clinical (subject) (for service prior to October 8, 1974), Instructor (for service prior to September 1, 1975), Acting Professor, Acting Associate Professor, Acting Assistant Professor, Senior Lecturer, Senior Research Associate (includes Senior Scientist, Engineer, Physicist, etc.), Senior Attending Physician and Clinical Professor, Senior Attending Physician and Clinical Associate Professor, Senior Teaching Associate, Senior Fellow, Lecturer, Research Associate, Teaching Associate, or Attending Physician and Clinical Assistant Professor.

An Interim Retirement Allowance is paid only during the lifetime of the retired faculty member and only until the date of mandatory retirement. The allowance is calculated on the basis of median faculty retirement funds accumulated at age 65 and on the basis of the salary, age, and years of service of the faculty member seeking retirement under this program. To determine the length of service for the purpose of calculating this allowance, part-time service is converted to equivalent full-time service and leaves without salary are excluded (with the exception of military or disability leave). Tables of this allowance as a function of these factors are calculated each year and may be obtained from the Personnel and Employee Relations office.

In no case will an annual Interim Retirement Allowance exceed 80 percent of final salary. That is, in the event that the annual allowance, computed as outlined above, exceeds 80 percent of final annual salary the actual annual allowance will be 80 percent of final annual salary.

Once computed at the time of early retirement, the annual Interim Retirement Allowance remains fixed in amount for any individual. It will be paid in regular, equal semi-monthly installments commencing on the effective date of retirement. These payments will be subject to income tax withholding and other deductions carried over from active employment. The Interim Retirement Allowance will be paid only during the lifetime of the

retired faculty member and only until the date of mandatory retirement (i.e., until the end of the academic year in which the faculty member reaches age 65). *No survivorship option is provided with this plan.*

The University will not continue its contributions to the TIAA-CREF retirement plan on behalf of a person who participates in the Early Retirement Program. However, the retiree may authorize Stanford to make regular deductions of any amount from the Interim Retirement Allowance and to send them to TIAA-CREF.

The TIAA-CREF contracts provide that a person may begin to receive monthly annuity payments at age 60. Thus, a faculty member who retires under the Early Retirement Program and who has participated in the TIAA-CREF Plan, has several alternatives in dealing with the TIAA-CREF benefits. The following three are illustrative.

First, contribute enough from the Interim Retirement Allowance or other funds to TIAA-CREF to maintain the estimated level of contributions which both the individual and the University would have made to TIAA-CREF in the absence of early retirement and wait until age 65 to begin drawing a TIAA-CREF annuity. In that event the TIAA-CREF annuity at age 65 would be the same as that which the faculty member would have received had he or she not retired early and had the individual and the University continued to contribute to TIAA-CREF in that estimated amount.

Second, refrain from making further contributions to TIAA-CREF but wait until age 65 to begin drawing a TIAA-CREF annuity. In that event, the TIAA-CREF annuity at age 65 would be somewhat lower than that which the faculty member would have received under the first alternative.

Third, immediately upon early retirement, begin drawing a TIAA-CREF annuity. In that event, the TIAA-CREF annuity at the age of early retirement would be substantially lower than that which the faculty member would have received at age 65 under the first alternative.

Tax (FICA) payments for Social Security cease when Interim Retirement Allowance payments commence. Benefits from Social Security may be received starting at age 62. These benefits are somewhat lower than those which are provided at age 65.

For participants in the Early Retirement Program the University will continue its normal contributions towards the cost of basic health and group life insurance plans until the date of mandatory retirement. Similarly, participation in this program does not affect eligibility for the tuition benefit. The death benefit gratuity continues until the date of mandatory retirement. Other benefits, such as University contributions to the Major Medical Plan and campus home ownership, which are normally available to faculty subsequent to mandatory retirement, will likewise remain available to persons who have retired early under this program.

Faculty who retire early under this program are eligible for appointment as *emeriti* by the Board of Trustees and are considered to have entered "academic retirement" within the meaning of the Statement of Policy on Appointment and Tenure.

Requests for early retirement should be submitted one year in advance of the desired retirement date to the dean of the school or to the director of the center or institute involved. Requests for early retirement may be discouraged or refused when such retirements would cause a department to have difficulty in meeting its institutional obligations.

This program is subject to continuous review and evaluation as to its costs and institutional effects. As a result of these evaluations any part or all of the plan may be revised from time to time. For example, changes may be made in the eligibility requirements, the coefficient tables used in the retirement allowance computation, or the faculty groupings upon which median salaries are based; or the University may even discontinue the program altogether. However, such revisions will *not* apply retroactively to those who have retired under this program prior to the implementation of those revisions.

Because of the likelihood of changes in the Early Retirement Program, the reader should be careful to ascertain the most current information on the program.

A detailed informational brochure is available from the Benefits Office of Personnel and Employee Relations.

I. POST-RETIREMENT PRIVILEGES

Retirement for members of the Stanford faculty normally takes place at the end of the academic year in which they reach age 65. They are granted emeritus titles by the Board of Trustees and become Senior Members of the Academic Council.

The Personnel and Employee Relations Department issues a new identification card to retired faculty members which identifies them when using libraries and other facilities and services of the University. Emeriti may continue to live on the campus, retain tuition grant eligibility for their children, and retain Faculty Club membership.

J. DEATH BENEFIT GRATUITY

A special death benefit gratuity based on rank and length of service to the University may be approved for the dependents of regular faculty members in case of death before retirement. The gratuity is arranged by the Personnel Office upon notification by the individual's department.

K. SOCIAL SECURITY SURVIVOR PAYMENTS

Dependents of employees who are covered by Social Security are eligible for a lump-sum death payment. In addition, monthly payments may be made to eligible survivors if the employee was fully insured under the Social Security program at the time of death, having participated for the required number of years.

Further information is available from the Benefits Office of Personnel and Employee Relations.

L. HEALTH INSURANCE

All faculty who are expected to be appointed 50 percent time or more for at least six months are eligible to enroll in a basic health care plan and the major medical plan. Eligible dependents also may be enrolled.

Basic Health Care Plans. Applications are taken during the first 60 days of appointment. Late applications are accepted only during open enrollment periods as provided by the plans. Three different plans are available: Blue Cross Health Plan, United Medical Clinics Health Plan, and Kaiser Foundation Health Plan. Brochures detailing coverage of each plan are available from the Benefits Office of Personnel and Employee Relations. For faculty with at least three-fourths-time appointments for six months or longer, the University contributes an amount equal to the full cost of the faculty member's participation in the least expensive of the three basic plans plus an additional amount specified by the University. Precise figures are available from the Benefits Office. For faculty working between half time and three-fourths time, the University contributes one half the amount provided for three-fourths to full-time appointees.

Major Medical Plan. The Major Medical Plan pays 80 percent of almost all expenses in excess of amounts paid by any of the three basic Stanford health care plans, or other health insurance plans, less an annual deductible. Enrollment is automatic for faculty with at least three-fourths-time appointments for six months or longer. Application must be made to enroll faculty working less than three-fourths time and to enroll eligible dependents of covered faculty. If enrollment is not automatic, application must be made within 60 days of the beginning of employment. Later enrollment requires medical evidence of insurability, to be provided at the faculty member's expense. Stanford covers the cost of the coverage for those who are automatically enrolled.

Further information is available from the Benefits Office of Personnel and Employee Relations.

M. INCOME CONTINUATION DURING DISABILITY

Long-term Disability Income Continuation Plan provides for continued income during a prolonged absence from work because of illness or disability. Faculty members appointed 50 percent time or more are covered by this Plan after one year of continuous appointment. After 90 days of disability, the faculty member will receive two-thirds of basic monthly salary. Payments continue until the disability ceases or age 65 is reached. This protection is provided by the University at no cost to the faculty member. Long-term disability benefits are integrated with State Disability Insurance and Social Security disability payments, when applicable.

Social Security disability payments may be available to a faculty member who is disabled and has not been able to work for five months or longer. A faculty member is eligible to apply for disability benefits if he or she has credit for participating in Social Security for five years in the 10 years before becoming disabled.

Faculty members disabled for more than a week will aid their departmental budgets by applying for State Disability Insurance benefits. Benefit checks are turned over to departments in return for continuation of full salary payments.

The Benefits Office of Personnel and Employee Relations should be contacted for more information on disability plans.

N. GROUP LIFE INSURANCE

Group Life Insurance is term insurance to provide a single sum or installment payments to the faculty member's beneficiary in the event of death from any cause. It is available to faculty members who are appointed half time or more for at least one academic year. Supplemental insurance also is available to those in the basic plan. If the faculty member leaves the University, the group policy can be converted to an individual permanent life insurance policy.

Faculty members pay a fixed premium for basic insurance which stays the same for the duration of the policy. The amount of insurance decreases as the age of the insured advances. The premiums for supplemental insurance are based on salary level, which also determines the amount of insurance coverage.

Application must be made at the Benefits Office of Personnel and Employee Relations during the first 60 days of appointment. Claims are processed by Personnel upon notice from the faculty member's department, the beneficiary, or a representative of the decedent's estate.

Further details are available from the Benefits Office of Personnel and Employee Relations.

O. VOLUNTARY GROUP ACCIDENT INSURANCE

Subscribers to the Voluntary Group Accident Insurance plan may elect coverage from $15,000 to $100,000. It provides insurance benefits in case of accidental death, dismemberment, or permanent total disability as the result of an accident at any time or place. Spouses of subscribers may be enrolled under the same terms except for the total disability benefit. Faculty members working 50 percent time or more are eligible to enroll and applications are accepted at any time. Premiums are paid by the subscriber. Claims are processed by Personnel and Employee Relations.

Further details are available from the Benefits Office of Personnel and Employee Relations.

P. TRAVEL INSURANCE

All faculty members are covered by the University's travel insurance from the first day of employment. This insurance provides benefits in the case of death, dismemberment, or permanent total disability for all Stanford personnel traveling off-campus on authorized University business. The insurance policy does not cover medical expenses or loss of income, nor does it cover personal travel to and from work. Questions about travel insurance coverage should be directed to the office of Insurance and Risk Management, Encina Hall.

Q. CAMPUS HOUSING

Privately owned residences. The University includes a sizeable community of privately owned single-family homes and condominiums on the campus. Owners receive

long-term ground leases and a loan program is available at favorable interest rates to facilitate purchase, remodeling, and repair of homes. Faculty with Academic Council membership are eligible to purchase homes. Queries should be directed to the Manager, Faculty-Staff Housing, Room 101, Encina Hall.

Escondido Village junior faculty component. Since the Fall of 1970, a small number of Escondido Village apartments have been made available to qualified junior faculty. Persons holding appointments at the rank of Assistant Professor (or Assistant Professor, subject to Ph.D.), or nontenured Associate Professor are eligible for the junior faculty component. Interested faculty should contact the Provost's Office for confirmation of eligibility. The program is experimental and may be discontinued or modified at any time.

R. TUITION GRANT PLAN

Grants are available, upon initial appointment, for tuition at Stanford and at other accredited institutions for eligible children of members of the Academic Council who hold full-time appointments at the University.

The plan is applicable only to the first four years of undergraduate study. For children who attend Stanford the amount of the grant is one-half tuition. For those who attend another accredited college or university the amount is the actual tuition and recurring fees charged by that institution, up to a maximum of one half of Stanford's tuition.

The tuition grant plan is administered by Personnel and Employee Relations. Application forms, available from Personnel, should be submitted as soon after April 1 as the student knows what school he or she will attend.

S. MOVING ALLOWANCES

In some cases, all or part of moving expenses may be authorized for new faculty members by the appropriate dean, department chairman, director, or other University officer. Charges may be reimbursed for packing and moving of household and personal effects (not including pets, boats, etc.) and limited storage costs, travel expenses, and temporary accommodations after arrival at the University.

When an offer is made to pay moving expenses, a letter of authorization specifying allowable expenses will be sent to the new faculty member at the time employment is accepted. Expenses paid by the University are considered additional income and will be reported as such by the University to federal and state tax agencies.

T. TRAVEL EXPENSES

The following is from the *Administrative Guide* (Memo 36.7, as revised August 15, 1975):

1. POLICY

It is the policy of the University to reimburse employees and nonemployees for necessary and reasonable travel expenses incurred for properly authorized, official University business in accordance with the established University procedures given herein. Employees traveling on official business should exercise the same care in incurring expenses as they would exercise on personal travel. The intent of this policy is that the reimbursement of travel expenses for University business be fair and equitable to both the traveler and the University. This policy applies to all travel expenses paid by the University regardless of the source of funds. Where travel costs are to be charged to a sponsored project, the terms of the applicable contract or grant will take precedence if at variance with University policy. At their discretion schools, departments, independent laboratories, and institutes may impose stricter guidelines for budgetary or control reasons by lowering the allowable reimbursements put forth in this policy, but may not exceed the guidelines stated in this policy.

2. TRAVEL AUTHORIZATION

a. Authority for approval, as well as control, of travel for employees, spouses, and guests of the University rests with the person (the appropriate dean, department chairman, or director) responsible for the account to which the expense is to be charged. All approval, including approval from a government agency or contract or grant sponsor, must be obtained prior to incurring travel expenses.

b. See Guide Memo 28.7 for "Authorized Use of Personal Automobiles on University Business."

3. TRAVEL ARRANGEMENTS

a. Travel reservations—Travel arrangements are made by the traveler or the traveler's department. The traveler is responsible for confirming or canceling reservations and for obtaining refunds if reserved accommodations are not used.

b. Discounts—If requested at the time the reservation is made, Stanford employees are entitled to commercial discounts from Hertz and Avis and National Association of Educational Buyers (NAEB) discounts from many major hotels. Hotel discounts vary and are subject to change and cancellation.

c. Prepaid expenses—When it is necessary to prepay travel agencies, conference fees, hotel deposits, or other expenses, checks should be requested on a *Check Request—Type A, SU-34A* (see Guide Memo 36.3).

d. Charges—All invoices should be billed to the individual or to the department in the name of the individual. An individual wishing to have the University pay a transportation charge should submit the invoice to the Accounting Office with a properly completed *Check Request—Type A, SU-34A*, within 10 days of the date of the invoice. The amount will be considered a travel advance to the individual until the used ticket stubs have been submitted with an expense report showing that the trip has been completed. If the used ticket stubs accompany an unpaid travel agency invoice, an expense report form can be used to submit the invoice.

e. Group travel—Travel by a group of employees in the same aircraft, automobile, or other means of transportation is discouraged when the

responsibilities of the employees are such that an accident could seriously affect the functioning of a University activity. Maximum coverage under the University's travel insurance also places a restriction on the number of employees traveling together (see Guide Memo 27.1).

4. CASH ADVANCES

a. Amounts–Travel advances may be requested only for expenses incurred on behalf of the University or when representing the University for which they will be reimbursed by an outside agency. The amount advanced should not exceed the estimated *cash* needs (in most cases a reasonable guideline would be $33 times the expected number of business travel days). Airline tickets should be billed by the travel agency to the department. This will preclude the advance of cash to the traveler for airline tickets.

b. Request for travel advance–A cash advance is requested on a *Check Request–Type A, SU-34A,* form. Refer to Guide Memo 36.3 for procedure. Each individual receiving a travel advance should be provided with a copy of *Summary of Travel Regulations, SU-33,* by the department secretary. This form is available from Stores.

c. Unused funds–Travelers are personally responsible for University funds advanced to them until they submit an approved expense report for funds used or return unused funds. When an authorized trip is canceled or postponed for more than two weeks, the advance must be refunded immediately.

5. TRANSPORTATION EXPENSE AND SUBSISTENCE IN TRANSIT

a. Policy–In order to be fully reimbursed by the University, all travel to a business destination must utilize the most economical (taking into consideration the total cost to the University, including such costs as subsistence and lost work time in addition to actual transportation costs) mode of transportation available and the most direct and usually traveled route, consistent with the authorized purpose of the trip. More expensive modes of transportation may be used if the traveler pays the incremental difference over the most common and reasonable or the allowed mode. Travelers are encouraged to combine University travel with other business travel so that travel expenses can be shared with other organizations. Automobile transportation is generally most appropriate for round trips up to 200 miles and air travel is generally the most economical and practical for longer trips. For ground transportation rental or privately-owned vehicles and taxis should be used only if other means of transportation are unavailable, more costly, impractical, or when the time that would be saved is advantageous to the conduct of the traveler's business.

b. Commercial air travel–The cost of commercial airlines for University business will be reimbursed at the less-than-first-class rate available to the traveler, including charter, family plan, or excursion rates when applicable, except when first-class service is the only service offered between two points or when such accommodations are necessary for specified medical reasons. Prior approval is required for medical excuses. First-class air travel may be used for University purposes provided that the individual pays the incremental difference over the less-than-first-class fare. No other exceptions to less-than-first-class travel will be allowed unless authorized by the Controller or his designee. If a traveler is traveling on joint business purposes the University will pay for its share of the less-than-first-class air travel cost up to a maximum of the actual less-than-first-class fare. First class airfare cannot be used as the basis of prorating air travel costs.

c. Private and rental plane–When a traveler uses a private or rental plane for University travel consistent with paragraph 5.a., reimbursement is based on the actual operating expense or the rental fee for the aircraft up to a maximum equivalent of the less-than-first-class commercial airline rate. Reimbursement requests for use of private aircraft must show the type of aircraft and number of hours flown. Because the University's insurance coverage for private and rental planes is limited, the traveler should check on insurance protection with the University Director of Insurance and Risk Management before taking a trip.

d. Railroads, nonlocal buses, commercial vessels–The University will pay the cost of the lowest first-class accommodations available for the trip, if consistent with paragraph 5.a.

(1) Rail–For each night that railroad Pullman or bus accommodation is used, an amount equal to the lodging allowance will be deducted from the per diem rate, if applicable.

(2) Ship–Payment of per diem will not be allowed for the period of travel aboard a steamship where the cost of subsistence is included in the fare for passage and stateroom.

e. Private automobile–The University will pay a standard mileage allowance of 15 cents a mile for official travel by private automobile (18 cents a mile for off-road, 4-wheel-drive vehicles and trucks over 1 ton), based on the actual driving distance by the most direct route (not more than 10% above standard Rand McNally highway mileage to the destination). Where individuals are authorized to be reimbursed on a continuing basis, reimbursement should be requested on a monthly basis and the request should be accompanied by a trip itinerary showing date, destinations, and individual mileage schedules. The University will not reimburse employees for their commuting expenses between home and campus. Where the employee has a temporary assignment away from campus, reimbursement will be made for mileage between campus and the assignment location.

(1) Standard mileage allowance–The standard mileage allowance is in lieu of all actual automobile expenses such as fuel and lubrication, towing charges, damages, repairs, replacements, tires, depreciation, etc.

(2) Automobile-related expenses–In addition to the standard mileage allowance, necessary and reasonable charges for the following "automobile-related expenses" are allowed: tolls, ferries, parking (other than valet), bridges, tunnels, and liability and physical damage insurance coverage for driving in Mexico. Traffic and parking tickets are excluded.

(3) Trips of more than one day–The University will pay the mileage allowance, meals, lodging, and the automobile-related expenses if travel by automobile is consistent with paragraph 5.a. Otherwise the University will pay the cost of the alternate method of travel. The University will calculate an en route per diem based on an average driving distance of 400 miles a day by the most direct route, or actual number of days taken, whichever is less. Passengers claiming payment for meals and lodging must prepare separate expense reports.

(4) Trips of less than one day–The University will pay the standard mileage allowance and the automobile-related expenses, including to and from terminals. One-way distances to the following common destination points from the University are to be claimed: San Francisco International Airport-25 miles; San Francisco-40 miles; Asilomar-95 miles; Berkeley-50 miles; San Jose-20 miles; Monterey/Pacific Grove-90 miles. Mileage can be computed from the traveler's home when travel occurs during weekends or holidays.

(5) Reimbursement–Because private automobile reimbursement is for the expense of automobile use, mileage and related expense shall be payable to only one of two or more persons traveling together in the same vehicle, regardless of the actual number of persons so transported.

f. Car rentals–The University will reimburse the traveler for the cost of renting a compact or standard size car and for the automobile-related expenses, if the use of the rental vehicle is consistent with paragraph 5.a. For insurance reasons car rental agreements for both employees and nonemployees should, whenever possible, include "Stanford University" with the name of the individual. Since the University's liability policy provides insurance in excess of rental agency coverage, travelers should not buy and will not be reimbursed for extra collision or liability insurance from a car rental agency, unless the insurance is effective when the individual is traveling in Mexico or in countries where it is mandatory. For the traveler to be covered by the rental agency's insurance, the agency's permission must be obtained before the rental vehicle can leave the state in which it is rented. If a rented vehicle is involved in an accident, the Insurance Office should be notified promptly.

g. Other transportation–The University will pay the necessary and reasonable cost of local business and connecting transportation.

6. COMBINATION OF UNIVERSITY TRAVEL WITH PERSONAL TRAVEL

a. Nonbusiness expenses–Travel expenses that are not directly related to and required for official University travel are nonbusiness or personal expenses, and as such are not paid by the University.

b. Indirect routes–If, for other than University business, an indirect route is traveled or travel by a direct route is interrupted, reimbursement for expenses will be based only on such charges as would have been incurred by traveling the direct route.

c. Excursion rates–If, for other than University business, the traveler extends the duration of a trip or takes a side-trip and is thereby able to take advantage of airline excursion rates or is thereby disqualified for excursion rates, the University will reimburse the traveler only for its share of the excursion fare up to a maximum of the full excursion fare.

d. Rental cars–The personal portion of the cost of a rental car must be subtracted from the total rental bill before the bill is submitted for reimbursement.

7. TRAVEL EXPENSES OF SPOUSES AND FAMILIES

a. Nonbusiness expense–In general, the expenses of an employee's spouse and family accompanying the employee on a business trip are not reimbursable. The Internal Revenue Service has ruled that attending meetings or conferences in which the spouse has no significant role or the performance of incidental duties of a clerical, secretarial, or medical nature does not constitute a business purpose.

(1) Air fare procedure–Where such travel results in more economical air fare (e.g., family plan or charter flight), the University will pay only for the employee's share of the cost. The employee should make the check for his/her family's portion payable to the University and submit it with an expense report for his/her portion.

(2) Hotel procedure–Where a double hotel room is occupied by the employee and family, the University will pay the single room rate.

b. Business expense–Attending functions at which the spouse has a significant role in the proceedings or involvement of the spouse in fund-raising activities constitutes a business purpose under Internal Revenue Service Regulations. In such cases the University will reimburse the employee for nonpersonal expenses directly resulting from the spouse's travel while on University business.

8. SUBSISTENCE ALLOWANCE

a. University domestic and foreign travel–Subsistence expenses incurred in connection with official

University travel where more than one day of travel took place may be reported to the University and claimed for reimbursement by one of three methods. The method selected must be used for the entire trip.

(1) Actual expenses–The traveler may be reimbursed for the actual costs of meals, lodging, and gratuities subject to the reporting conditions specified in paragraph 11. Tips for meals should not exceed 15% of the cost of meals. The cost of lodging will vary by geographic location and by type of hotel. As a general guideline, the reasonable cost of moderately priced hotels will range from $15 to $25 per day, and the reasonable cost of meals and gratuities should average about $14 per day, though this also will vary by location.

(2) Actual lodging expense plus per diem for meals–The traveler may be reimbursed for actual lodging cost plus a $14 per diem allowance for meals and gratuities subject to the conditions in paragraph 11.

(3) Per diem–The traveler may be reimbursed for lodging, meals, and gratuities on the basis of a $33 per diem allowance when traveling alone. If two employees are husband and wife and are traveling together, the per diem allowance is $50 per couple. These per diems are not applicable where paragraph 8.c. applies.

One fourth of the applicable per diem allowance will be paid for each six-hour period (commencing at 12:01 a.m.) or fraction thereof while traveling.

Times of departure and return are required on the expense report to prorate the per diem allowance on the first and last days of a trip and when official travel is interrupted. Weekends, holidays, and other necessary standby days may be counted as business days only if they fall between business travel days. If they are at the end of a traveler's business activity and the traveler remains at the business destination for nonbusiness reasons, the per diem is not allowed for the additional days. Where meals and/or lodging are furnished without charge or at a nominal cost, an appropriate deduction may be made from the authorized per diem rate.

b. Foreign per diem–Where specified in contracts or grants, subsistence allowances for official University travel to Alaska, Hawaii, United States territories and possessions, Canada, Mexico, and all other foreign countries must conform with the per diem rates in the current edition of the standardized Government Travel Regulations, or Circular Number A-7, published by the Office of Management and Budget. In the event that different per diem rates apply between any two points in a trip, the rate for the destination point should be used to compute the per diem for the entire leg of the trip. The per diem rates include all charges for meals, lodging, personal use of room during daytime, baths, all fees and tips to waiters, porters, baggagemen, bellboys, hotel maids, dining room stewards and others on vessels, hotel servants in foreign countries, telegrams and telephone calls reserving hotel accommodations, laundry, cleaning and pressing of clothing, fans and fires in rooms, and transportation between places of lodging or business and places where meals are taken.

c. Exceptions to paragraph 8.a.–When an individual's original estimated travel is for more than 30 consecutive days *in one location*, or when the circumstances of the travel are such that the traveler can reasonably be expected to incur expenses comparable to those arising from the use of establishments catering to the long-term visitor or from the use of noncommercial facilities (e.g., house trailers, camping equipment), the traveler may choose to be reimbursed for the actual and reasonable cost of lodging and meals or a per diem allowance of $16 a day. If two employees are husband and wife and are traveling together, the per diem allowance is $24 per couple. This rate begins with the first day of travel.

d. Extension of travel–If while on travel status the traveler is granted an extension to the original estimated travel which would result in a total of more than 30 consecutive days in one location, the per diem allowance will be calculated in accordance with paragraph 8.a. from the first day up to and including the 30th day. From the 30th day the per diem allowance as stated in paragraph 8.c. will be applicable.

e. One-day travel–In accordance with Internal Revenue Service regulations, the cost of a meal incurred when there is no overnight travel will not be paid by the University unless the meal is in conjunction with a business or professional meeting. The following meal limits apply:

Breakfast	$2
Lunch	$3
Dinner	$9

The actual cost of a meal which is part of a conference, convention, or professional society, unless paid for in a registration fee, will be reimbursed.

9. MISCELLANEOUS TRAVEL EXPENSES

a. Meetings–Registration fees, costs of presentations, published proceedings, hire of meeting rooms and other actual expenses in connection with professional meetings, conferences, and seminars will be reimbursed. The cost of meals included in a fee should be deducted from the per diem allowance.

b. Telephone and telegraph–Actual costs of necessary business telephone calls and telegrams are allowable.

c. Excess baggage–Charges for excess baggage are reimbursable only when the traveler is transporting University materials or when the extended period of

travel necessitates excess personal baggage. In the latter case the individual should procure advance authorization for a maximum amount to be reimbursed by the University from the person responsible for the account.

d. Foreign travel–Actual costs of acquiring passports, visas, tourist cards, required photographs, birth certificates, required inoculations, immunization, health cards, and fees for the conversion of funds to foreign currencies will be paid by the University. The requirements and limitations in specific contracts and grants apply.

e. Traveler's checks–The University will reimburse the traveler for the cost of converting any or all of the travel advance to traveler's checks.

f. Laundry–For business trips over four calendar days, the actual costs for laundering clothes will be reimbursed by the University up to a maximum of $5 for any seven-day period while on travel status. Normally, the laundry expense appears as a charge on the hotel bill.

g. Miscellaneous expenses–Other miscellaneous expenses which are essential to the purpose of the authorized travel will be reimbursed to the extent authorized by Guide Memo 36.4, Reimbursement of Expenses.

h. Entertainment expenses–Expenses incurred on behalf of others for ordinary and necessary business entertainment, including but not limited to food, beverages, refreshments, social or recreational activities, will be reimbursed. Expenses for personal entertainment are not reimbursable. To be considered nontaxable, the Internal Revenue Service requires that the names of persons entertained and the business purpose must be shown. Individual names are not required if a large group is involved and it can be identified as a single body. Government contracts and grants do not allow entertainment expenses.

i. Personal expenses–Expenses that are not directly related to and required for official University travel but that are incurred for the personal use or convenience of the traveler, such as personal phone calls, shoe shines, entertainment, haircuts, sauna baths, magazines, newspapers, valet service and parking, traffic fines, life insurance, flight insurance for guests of the University, and automobile insurance other than that authorized in paragraph 5.f., will not be reimbursed.

10. EXPENSES INCURRED FOR SPECIAL TRAVEL

a. Interview travel–Travel expenses in connection with employment interviews are authorized when necessary to acquire key personnel for full-time appointments to the University. Travel expenses are allowed to the extent authorized in a formal written invitation to the prospective employee, as long as they do not exceed the limits and are consistent with the policies and procedures herein. Travel expenses of spouses accompanying prospective employees are also allowed to the extent authorized in the invitation when it is believed that such accompaniment will be an effective means of encouraging a highly desired prospective employee to accept a position with the University. Requirements and limitations in specific contracts and grants apply.

b. Moving and reassignment expenses–See Guide Memo 36.8.

11. TRAVEL EXPENSE REPORTS AND RECORDS

a. Record requirements–Travelers who comply with the policies set forth herein, keep accurate daily records, obtain the required receipts, and submit expense reports to the University are relieved of the Internal Revenue Service requirement of reporting and substantiating expense information on their own income tax returns.

b. Receipts–Dated receipts or invoices for the following expenses must be submitted with a properly completed *Expense Report* form. Receipts should be attached chronologically and numbered consecutively as referenced on the report. In accordance with the regulations of the Internal Revenue Service, the University will report as additional income the reimbursement of any expense of $25 or more and any lodging or car rental expense if not substantiated by an appropriate receipt. Where expenses are being shared with external organizations, a copy of the receipts will suffice if submitted with either a copy of the expense report to the other party or parties or a common expense report showing all expenses being charged both to Stanford and to the other organizations.

(1) Transportation tickets–Passenger copies of air, rail, boat, helicopter, and nonlocal bus tickets are required with the travel expense report. Reimbursement will not be made without the appropriate receipt.

(2) Car rentals–Car rental agreements or invoices must be submitted with the travel expense report, after correcting such invoice to deduct expenses allocable to the personal use of the vehicle.

(3) Lodging bills–Lodging bills must be submitted unless a per diem allowance is claimed for the duration of the trip.

(4) Other expenses–A receipt or invoice for any other expenses of $25 or more, including prepaid expenses, must be obtained and submitted with the travel expense report.

c. Travel expense reports–The University requires an *Expense Report, SU-35,* to account for any travel expenses which are to be charged to a University account. The properly completed and approved expense report must be sent to the Accounting Office within 10 working days after the return from each trip. If some invoices are not expected to be received within this period, the expense report should be submitted without listing such expenses. When the invoices or receipts are received, they should be submitted with an expense report

referencing the previous expense report. If the travel or the assignment is for longer than one month, an interim expense report is required every month.

(1) Purpose–The expense report must include a statement of the purpose of the travel which shows the direct relationship of the travel to an official University function, including the performance of a contract or grant for which the University has responsibility.

(2) Dates–All days from the date (day and hour) of departure to the date (day and hour) of return must be included on the *Expense Report* form. Days for personal use must be referenced as such.

(3) Expenses–Costs of transportation, meals, lodging, and miscellaneous expenses must be listed by date and location. Expenses that are prepaid or invoiced should be shown in the appropriate columns and entered under "Advances and Charges." Unpaid invoices should be noted under "Explanation" so that they will not be overlooked.

(4) Balance due–Advanced funds not used for travel expenses must be returned to the University by check for the exact amount due together with the expense report within 10 working days after the completion of the trip. A balance due the individual will be paid as soon as the expense report is processed.

(5) Signatures–The expense report should be signed by the person who incurred the expenses, and must be approved in signature by the appropriate department chairman, dean, director, or other supervisor authorized to review expenses. The appropriate individuals cannot have others sign for them. An expense report will be processed with the approval signature alone if the signature of the traveler cannot be obtained and if the reason for not obtaining the traveler's signature is given on the expense report.

(6) If the check request or expense report is not completed properly, it will be returned to the originator.

d. Explanations of travel expenses and arrangements–Written explanations for the following must be submitted with the *Expense Report* form:

(1) The traveler must report, including all pertinent details, whether expenses for any part of the trip were or will be reimbursed by any source other than the University. Source name, address, and amount must be included on the expense report. If reimbursement is to be received for expenses charged to the University, a check should be made to "Stanford University," or "Stanford University" and the name of the traveler.

(2) Expenses that are not expressly allowed must be fully explained in order to support a claim for reimbursement.

(3) If the cost of first-class, private, or rental air transportation, travel by private automobile, or travel by a spouse is claimed, an explanation on the expense report is required. Approval of full reimbursement is contingent upon meeting the guidelines and limitations established for these expenses.

(4) If reported expenses include entertainment, meals, lodging, or transportation provided for others, the requirements of paragraph 9.h. must be submitted and referenced to other expense reports where applicable.

(5) Whenever this policy states that prior written approval or invitation is necessary, a copy of such must be submitted with the expense report. The same is true for any approved deviation from this Guide Memo.

(6) An explanation should be given for unusually large telephone and telegraph charges.

e. Travel expenses as income

(1) The University is required to report as additional income to the individual all reimbursements for moving allowances and travel costs associated with initial employment or termination.

(2) Reimbursement for unsubstantiated travel expenses will be reported as additional income to the individual.

U. STANFORD-SPONSORED AUTO AND HOME-OWNER/RENTERS INSURANCES

Stanford University provides payroll deduction services for all employees working half-time or more who wish to participate in University-sponsored plans for automobile, homeowner's and renter's insurance.

Premium quotations are made individually, and employees may enroll at any time. Usually enrollment takes place upon expiration of current policies, thus providing uninterrupted but nonduplicated protection.

The program is underwritten by the Fireman's Fund American Insurance Company. It is administered by Marsh & McLennan, Inc. on behalf of the University.

For information and enrollment instructions, an employee may contact Marsh & McLennan, Inc., One Bush Street, San Francisco, CA, 94104. Telephone: Enterprise 1-7631 (toll free from Menlo Park and Palo Alto). From other locations call 981-0744 collect during regular business hours.

VII. HISTORY OF ACADEMIC DEVELOPMENT

A. THE FOUNDERS

Stanford, Johns Hopkins, and Cornell–founded late in the 19th Century–were in the vanguard of American universities patterned on the German model which stressed research and the freedom to learn and teach. In addition to the traditional liberal arts education, all three provided scientific, technological, and professional training.

Leland Stanford Junior University was founded by Leland and Jane Stanford in 1885, a few months after the death of their son of typhoid fever in his sixteenth year. The 8,800-acre campus and approximately $20,000,000 formed the original endowment.

Senator Stanford was a railroad man, one of the four builders of the western link in the first transcontinental line. He and Mrs. Stanford at first envisioned a university that would have amounted to little more than a trade school where "boys and girls can . . . grapple successfully with the practicalities of life." But, as they toured the East, talking with the presidents of Harvard, Cornell, MIT, and Johns Hopkins, their ideas broadened.

As finally decided upon, the objectives of the University were stated in the Founding Grant to be "to qualify students for personal success and direct usefulness in life; and to promote the public welfare by exercising an influence in behalf of humanity and civilization, teaching the blessings of liberty regulated by law, and inculcating love and reverence for the great principles of government. . . ."

The Grant called for "a University of high degree," offering "Studies and exercises directed to the cultivation and enlargement of the mind."

In a letter to David Starr Jordan, the first President of the University, setting forth his educational ideals, Senator Stanford cited the need for instruction in the sciences, mathematics, law, and "general education" if the student was to qualify for "usefulness in life." But he also attached great importance to the study of literature, music, and art. "The imagination needs to be cultivated and developed to assure success in life," he wrote.

The University opened its doors October 1, 1891. Within two years Senator Stanford was dead. The University was plunged into severe financial jeopardy because of the complicated nature of his estate and a government suit involving railroad holdings. Only the determination and sacrifices of Mrs. Stanford, President Jordan, and the faculty kept classes going. The estate was cleared after, in Dr. Jordan's words, "six pretty long years."

Mrs. Stanford died in 1905 and thus was spared a second crisis when the 1906 earthquake caused more than $2,000,000 in damage to campus buildings. This, too, proved to be only a temporary setback.

B. THE PRESIDENTS

David Starr Jordan, a world-famed ichthyologist, was 40 years old when he was selected in 1891 by Senator and Mrs. Stanford to be the first President. He served until 1913 and thereafter was Chancellor and Chancellor Emeritus until his death in 1931.

John Casper Branner, Professor of Geology and Vice-President of the University, served as President from 1913 until his retirement in 1915.

Ray Lyman Wilbur, member of the Stanford Class of '96, was elected third President in 1915 after a medical career in practice and as Dean of the Stanford Medical School. He retired in 1942 and then was Chancellor until his death in 1949.

Donald Bertrand Tresidder's time as fourth President was cut short by his death in 1948. Holder of Stanford A.B. and M.D. degrees, he had served as a University Trustee.

J. E. Wallace Sterling was installed as fifth President in 1949 and became Chancellor in 1968. He was awarded a Stanford Ph.D. in history in 1938 and is a member of the Board of Trustees.

Kenneth Sanborn Pitzer, a noted chemist and former President of Rice University, became the sixth President of Stanford in December 1968 and served until his resignation in September 1970.

Richard Wall Lyman, seventh President, took office in September 1970. He had been Vice-President and Provost and is Professor of British History.

C. THE FACULTY

Dr. Jordan was appointed president in March (1891) and by June his first faculty–17 men of youth and scholarly promise–had accepted appointment. Dr. Jordan sought professors who combined abilities for teaching and for research. The first class of 465 students was double expectations, and 29 professors were added the second year. Academic Council membership grew to nearly 300 by 1946, and in the postwar years moved ahead rapidly to its present level of approximately 1,000.

When Dr. Wilbur took office in 1915, the faculty was grouped into 26 independent departments showing what Registrar J. P. Mitchell referred to kindly as "a serious absence of cooperation." It took 10 years to evolve a system of schools.

The Articles of Organization of the Faculty, worked out by a Trustee committee and a faculty committee and concurred in by President Jordan, were adopted by the Board of Trustees in 1904. Thereby they created the Academic Council of Assistant, Associate, and full Professors to give the faculty a formal voice in University governance for the first time.

The Articles made clear the supremacy of the Council in academic matters and established the Council's Executive Committee, Advisory Board, and standing committees.

The structure remained essentially unchanged until 1968 when the Senate of the Academic Council replaced the Executive Committee, following approval by the Council and the Board of Trustees. The Senate has since recommended several faculty policies, which have been approved by the Council and the Board of Trustees. These include guidelines on openness in research, the Statement on Faculty Discipline, the Statement on Academic Freedom, and the Statement on Faculty Grievance Procedures–the texts of which are published in other sections of this Handbook. The Senate has also revised the Statement of Policy on Appointment and Tenure and has endorsed procedures for evaluation of teaching.

D. THE STUDENTS

Four hundred sixty-five students, 20 graduates among them, were registered when the dedication ceremonies were held on the Inner Quad in October 1891. Total enrollment topped a thousand by the fourth year, and reached 2,200 in 1915, including 343 graduate students. The post-World War II surge brought 5,347 undergraduates and 2,970 graduates to the campus by 1948. Currently there are approximately 6,500 undergraduates and 4,900 graduates. The student body is drawn from all states of the Union, about one fourth from east of the Mississippi. About 900 students come each year from foreign countries.

The Founding Grant established Stanford on a coeducational basis. Mrs. Stanford set a limit of 500 women in 1899, but this figure became unrealistic and in 1933 the Trustees decided to maintain substantially the same proportion between men and women as existed in 1899. In 1973, following court approval of a Founding Grant change, all numerical limitations on the admission of women were removed.

Enrollment of ethnic minorities has risen from negligible numbers several years ago to enrollment in 1974-75 of 554 black students, 535 chicanos, and 77 native Americans.

E. THE WILL TO INNOVATE

There was no shortage of scoffers when the Stanfords settled a full University–with undergraduate and graduate work and programs of research–in a raw young land a continent away from the nation's centers of culture. But the University profited from the newness of its surroundings; it learned to break new ground.

The major subject system and the stipulation of English as the only required entrance subject were both adopted at the outset. The quarter system with a full summer session was set up in 1917. In the Twenties creation of the lower division emphasized liberal education, and student responsibility was enhanced by adoption of the Honor Code and the Independent Study Plan.

In more recent times there have been the move of the Medical School from a metropolitan setting to the main campus, where the medical sciences are presented in a context of all human knowledge; the Overseas Studies Centers, where more than half of Stanford undergraduates in all majors learned of the literature, art, history, and social sciences of the European culture; small freshman seminars taught by leading lights of the faculty; and the University Fellows program.

During 1967-69, the Study of Education at Stanford, involving more than 200 faculty, staff, and students, prepared ten reports containing some 250 recommendations. Among SES-based changes were the substitution of simple writing and course distribution requirements for the more elaborate general studies requirements; establishment of coeducational residence halls, mixing of the four classes in houses, and more houses with a thematic focus; a broader base for undergraduate admissions; increased student participation in University government; and establishment of the Committee on Undergraduate Studies and the Office of a Dean of Undergraduate Studies to enhance the undergraduate academic program.

SES saw its primary task as "ground-clearing," for understandable historical reasons. Considerable freedom from curricular requirements and a simplified grading system were introduced. Within a few years some prescription was returned to the curriculum and the "D" grade was restored, but overall the effect of SES on undergraduate education was beneficial.

The *Report of the Study of Graduate Education at Stanford* appeared in the fall of 1972. The report recommended a basic four-year Ph.D. and the Senate of the Academic Council endorsed this concept by requiring that each department or program should submit to the Dean and Committee on Graduate Studies a clear timetable showing how the normal student would progress to completion of the Ph.D. and that timetables longer than four years be subject to approval of the Committee. The Senate also endorsed the requirement of a procedure by which, at the end of two years, the student would either qualify to continue or would terminate his program.

VIII. BIBLIOGRAPHY AND GUIDE TO OTHER INFORMATION SOURCES

Academic Staff Handbook, Stanford University (available at Vice-Provost for Faculty Affairs Office).

Administrative Guide: Organization, Policies, and Procedures (inquire at Publications Service).

Adviser's Handbook, compiled for advisers of undeclared students (available for consultation at Academic Information Center).

"Appointments on the Academic Staff at Stanford University" (available at Vice-Provost for Faculty Affairs Office).

Approaching Stanford, a guide for freshman and transfer students (available at Academic Information Center).

Articles of Organization of the Faculty (inquire at Academic Secretary's Office).

Charter of the Senate of the Academic Council of the Faculty of Stanford University (available at Academic Secretary's Office).

Committee on Public Events: Policy Manual (inquire at Office of Public Events).

Conference Planning at Stanford (available at Conference Office).

Course Abstracts, quarterly compilation of data about undergraduate courses (available for consultation at Academic Information Center).

Faculty-Staff Directory (on sale at Bookstore).

Financial Aids Information (available at Financial Aids Office).

Founding Grant, The, with Amendments, Legislation, and Court Decrees (limited quantity–available from the Secretary to the University).

Guidelines for Appointment, Reappointment, and Promotion of Academic Staff-Teaching and of Other Teaching Personnel (available at Vice-Provost for Faculty Affairs Office).

Guidelines for the Employment of Research Associates and Senior Research Associates (available at Vice-Provost for Research Office).

Historical Data (available in libraries):

Elliott, Orrin Leslie, *Stanford University: The First Twenty-five Years* (Stanford University Press, 1937).

Mitchell, J. Pearce, *Stanford University 1916-1941* (Stanford University Press, 1958).

Clark, George T., *Leland Stanford: War Governor of California, Railroad Builder, and Founder of Stanford University* (Stanford University Press, 1931).

Library Guides (available at various University libraries):

A Guide to Stanford University Libraries

Guide to the Science Libraries at Stanford

Guide to Selected Reference Materials, Stanford University Libraries

Medicine, School of (available at Medical School Office of Student Affairs):

Faculty Research Interests

Student Handbook

Time Schedule

Overseas Studies, Stanford University Bulletin (available at Overseas Studies Office).

Procedures for Recommending Appointments, Reappointments, and Promotions in the Stanford Faculty, Revised September, 1975 (available at Vice-Provost for Faculty Affairs Office).

"Recommendation for Appointment to the Faculty (Revised September, 1975)" form (available at the Vice-Provost for Faculty Affairs Office).

"Recommendation for Appointment or Promotion of Academic Staff-Research" form (available at Vice-Provost for Research Office).

"Recommendation for Teaching Appointment (Revised July, 1975)" form (available at Vice-Provost for Faculty Affairs Office).

Regulations Governing Student Conduct and Procedures for Their Enforcement (available at President's Office).

Report of the Committee on the Professoriate at Stanford (available at Provost's Office).

Rosters of the Senate, Advisory Board, and various committees (available at Academic Secretary's Office).

Rules for the Conduct of Hearings Arising Under the Statement on Faculty Discipline (available at Academic Secretary's Office).

Rules for the Handling of Grievances Referred to the Advisory Board Under the Statement on Academic Freedom (available at Academic Secretary's Office).

Rules for the Handling of Grievances Referred to the Advisory Board Under the Statement of Faculty Grievance Procedures at Stanford University (available at Academic Secretary's Office).

Senate Rules (available at Academic Secretary's Office).

Sponsored Projects Policy Manual (available at Sponsored Projects Office, Old Pavilion).

Standing Rules of Procedure Governing the Filing and Appeal of Grievances in the Administrative Structure (Statement of Faculty Grievance Procedures at Stanford University, Article III., and Article IV., Section A.) (available at Academic Secretary's Office).

Stanford Facts (admissions, financial data, land development, library resources, etc.–available at General Secretary's Office).

Stanford Directory of Research and Scholarship, 2nd edition (available at Sponsored Projects Office, Old Pavilion).

Stanford University Bulletins:

Available at the Registrar's Office:

Information
Summer Session
Courses and Degrees

Available at the School or Department:

Hopkins Marine Station
School of Law
Graduate School of Business (at Office of Public Information)
School of Medicine

Statement on Academic Freedom (available at Academic Secretary's Office).

Statement on Faculty Discipline (available at Academic Secretary's Office).

Statement of Faculty Grievance Procedures at Stanford University (available at Academic Secretary's Office).

Survey on Future Academic Plans of Graduating Seniors (available for consultation at Academic Information Center in two versions: medicine and the allied health fields; other areas).

Time Schedule (distributed to faculty and students by Registrar's Office).

IX. APPENDICES

APPENDIX A. THE LEGISLATIVE AND JUDICIAL CHARTER

The Legislative and Judicial Charter was approved by the students, the faculty, and the President in 1968. The Charter created two University committees: the Student Conduct Legislative Council (SCLC) and the Stanford Judicial Council (SJC). The SCLC, consisting of five students, five faculty, and a chairman appointed from the faculty, is charged with the responsibility of promulgating regulations governing student conduct.

Amendments of Article II of the Charter were approved by the faculty, students, and President in Spring 1975. Article II provides for the composition and operation of the Stanford Judicial Council, which deals with all student disciplinary cases. The Council is made up of three faculty members chosen by the Academic Senate, three students chosen by the ASSU Senate from a randomly selected pool, a faculty chairman chosen by the President who presides over all cases except those involving Honor Code violations, a student co-chairman, also chosen by the President, who presides over Honor Code cases.

If there are contested issues of fact, they are resolved at a hearing before a Hearing Officer (an attorney not associated with the University). The Stanford Judicial Council determines whether the facts, as found by the Hearing Officer, constitute a violation of University regulations and, if so, recommends to the President an appropriate penalty.

In the alternative, a student may have his case heard by the Dean of Student Affairs, if the student so requests and the Dean agrees. In such cases, the Dean recommends to the President an appropriate penalty.

When a violation of the Fundamental Standard or the Honor Code occurs, the University administration pursues the case to completion. Consequently, whenever a faculty member believes such a violation has occurred, he or she should contact the Office of the President.

APPENDIX B. THE FUNDAMENTAL STANDARD

The following is excerpted from the statement, "The Government and Conduct of Students: The Fundamental Standard and the Honor Code," adopted by the Board of Trustees in September 1963:

"In student affairs, Stanford seeks the largest individual liberty consistent with good work and orderly conduct.

"The authority and responsibility for student conduct and discipline have been vested in the President of the University by the Board of Trustees. . . .

"Students are expected to observe the Fundamental Standard of student conduct, which was stated as follows by Stanford's first President, David Starr Jordan:

" 'Students are expected to show both within and without the University such respect for order, morality, personal honor, and the rights of others as is demanded of good citizens. Failure to observe this will be sufficent cause for removal from the University.' "

As is the case for any regulation governing student conduct, if a faculty member believes that a violation of the Fundamental Standard has occurred, he or she should forward such information to the Office of the President.

APPENDIX C. THE HONOR CODE

Provisions of the Honor Code date from 1921 when the honor system was established by the Academic Council of the University Faculty at the request of the student body and with the approval of the President. The Honor Code is an undertaking of the students, individually and collectively:

(1) That they will do their share and take an active part in seeing to it that others as well as themselves uphold the spirit and letter of the Honor Code;

(2) That they will not give or receive aid in examinations; that they will not give or receive unpermitted aid in class work, in the preparation of reports, or in any other work that is to be used by the instructor as the basis of grading.

The faculty on its part manifests its confidence in the honor of its students by refraining from proctoring examinations or otherwise taking special ways to prevent the forms of dishonesty mentioned above.

Provided that alternate seats are available, tests will be taken from the classroom only with the consent of the instructor (adopted by student referendum in 1955).

The students and the faculty will work together to establish those conditions under which optimum academic performance can be reached.

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As is the case for any regulation governing student conduct, if a faculty member believes that a violation of the Honor Code has occurred, he or she should forward such information to the Office of the President.

APPENDIX D. POLICY ON CAMPUS DISRUPTION

The following policy has been in effect since October 1968:

Because the rights of free speech and peaceable assembly are fundamental to the democratic process, Stanford firmly supports the rights of all members of the University community to express their views or to protest against actions and opinions with which they disagree.

All members of the University also share a concurrent obligation to maintain on the campus an atmosphere conducive to scholarly pursuits; to preserve the dignity and seriousness of University ceremonies and public exercises; and to respect the rights of all individuals.

The following regulations are intended to reconcile these objectives:

> It is a violation of University policy for a member of the faculty, staff, or student body to (1) prevent or disrupt the effective carrying out of a University function or approved activity, such as lectures, meetings, interviews, ceremonies, the conduct of University business in a University office, and public events; (2) obstruct the legitimate movement of any person about the campus or in any University building or facility.
>
> Members of the faculty, staff, and student body have an obligation to leave a University building or facility when asked to do so in the furtherance of the above regulations by a member of the University community acting in an official role, and identifying himself as such; members of the faculty, staff, or student body also have an obligation to identify themselves, when requested to do so by such a member of the University community who has reasonable grounds to believe that the person(s) has violated section (1) or (2) of this policy and who has so informed the person(s).

* * *

It should be noted that the SJC has decided that no prior warning that an individual's continued or threatened action would violate the Policy on Campus Disruption is necessary in order for that policy to be violated.

As is the case for any regulation governing student conduct, if a faculty member believes that a violation of the Policy on Campus Disruption has occurred, he or she should forward such information to the Office of the President.

APPENDIX E. PRINCIPLES OF PRIVACY

In April 1972 the Ad Hoc Committee on Protection of Privacy of Information at Stanford submitted its report to the President. The Committee had been charged to examine "existing policies and procedures in the University concerning the acquisition, use, security, and disclosures of personal information." The Committee recommended the adoption of ten "Principles of Privacy in the University." The Principles, as adopted, are set forth in the Provost's memorandum of October 26, 1972, available from the Provost's Office.

APPENDIX F. AUDITING OF COURSES

Students who register on a full-time basis are considered to have the privileges of the University and may, with the consent of the instructors, audit lecture courses in addition to the program taken for credit. Students registered on some partial basis (such as half-tuition) may not audit additional courses without payment of the regular tuition that would be charged for credit registration. Changing from auditing basis to credit basis or vice versa is not permitted after the published deadline for changing study lists.

Persons not registered at Stanford are permitted to audit only under unusual circumstances; permission may be granted by the Registrar or Associate Registrar on payment of the Attendance Permit Fee of $400.

Faculty may attend another faculty member's class upon his or her invitation.

A member of the University staff may audit lecture courses with a letter from his or her department head stating that auditing will not interfere with normal duties and that the course in question will contribute to the ability to perform the assignment. Spouses of University faculty and staff may audit lecture courses. In both of the above cases a Courtesy Card should be obtained from the Registrar or Associate Registrar. In all cases of auditing the instructor's consent is required.

No person should attend any class unless he or she is in one of the classifications above.

APPENDIX G. VISITING SCHOLARS

Scholars established in their fields may be extended the privileges of the University and enjoy the courtesy designation of "Visiting Scholar." Following whatever procedures are appropriate in individual schools and departments, a faculty member may arrange the "Visiting Scholar" designation by contacting the Registrar. Visiting Scholars are *not* employees of the University, and the title may not be used for personnel and payroll purposes. If a department wishes to make some special payment for a Visiting Scholar's participation in a seminar presentation or the like, that should be done through honoraria; if the Visiting Scholar is asked to make some short-term contribution to a research effort, payment of appropriate consulting fees should be arranged. The title itself, Visiting Scholar, involves only the kinds of privileges that can be extended by courtesy.

APPENDIX H. OMBUDSMAN

Members of the University community may discuss any troublesome matter with the Ombudsman. Although he has no authority to decide issues, he has wide powers of inquiry. He will refer questions to the proper person or office expeditiously and, where appropriate, assist in negotiations.

The original proposal for an ombudsman at Stanford described the purpose of the office in this way: "The Ombudsman's task is to protect the interests and rights of members of the Stanford community from injustices or abuses of discretion, from gross inefficiency, from unnecessary delay and complication in the administration of University rules and regulations, and from inconsistency, unfairness, unresponsiveness, and prejudice in the individual's experience with University activities. The Ombudsman exists to receive, examine, and channel the complaints and grievances of members of the Stanford community, and to secure expeditious and impartial redress."

APPENDIX I. FACULTY AWARDS

Awards have been established to recognize excellence in practically every field of University activity. Many of these, through the generosity of donors, carry cash stipends.

Further information may be obtained by consulting department offices. Descriptions of two major honors follow.

Dinkelspiel Awards. The Lloyd W. Dinkelspiel Awards for Outstanding Service to Undergraduate Education are made annually at the Commencement ceremonies. The principal awards, which include a substantial cash prize, are made to the faculty or staff members adjudged to have made the most distinctive contribution to the development and enrichment of undergraduate education in its broadest sense. Two cash awards are made to graduating seniors who combine academic achievement with effective contributions to undergraduate student life. Preference is given to service in the School of Humanities and Sciences, the area of liberal education. The awards are made from an endowment fund established in memory of Lloyd W. Dinkelspiel, Stanford alumnus and trustee.

Walter J. Gores Awards. The Walter J. Gores Faculty Achievement Awards for excellence in teaching were established by bequest of Walter J. Gores, Stanford Alumnus of the Class of 1917 and a professor at the University of Michigan for 30 years. Teaching is understood in its broadest sense and includes, in particular, lecturing, leading discussions, tutoring, and advising at the undergraduate or professional levels. Any member of the teaching staff of the University is eligible for an award, including all faculty of professorial rank, instructors, lecturers, teaching fellows, and teaching and course assistants. Normally, each year at least one award will be made in each of the following categories: Teaching Fellows and Assistants, junior faculty, and senior faculty.

APPENDIX J. CONFERENCES

Policies concerning conferences are the responsibility of the President's and Provost's Offices. Arrangements for conferences are the responsibility of the Manager of Conferences, under the Director of Housing and Food Services.

A "conference" is any student or adult group that is not a part of a regular or summer academic session for registered students, whether convening for only part of a day (including a luncheon), overnight, or for a longer period.

Outside organizations wishing to meet at Stanford must have the sponsorship of a University department. Conferences initiated by organizations within or outside the University must be consistent with the academic purpose of the University. The sponsoring department submits its proposal to the Manager of Conferences for review in terms of available facilities and for approval by the President's Office.

Arrangements for campus housing and/or meeting room facilities are made with the Manager of Conferences in the Housing Management Office, Encina Commons, Room 128.

Housing and food service accommodations in campus residences usually are available on the Sunday following Commencement until early September. Arrangements for tables, chairs, audio-visual aids, signs, and other equipment may be made with the Manager.

For additional information see the brochure, *Conference Planning at Stanford*, available from the Manager of Conferences, Encina Commons, Room 128.

APPENDIX K. STANFORD FACULTY CLUB

The Faculty Club is a place for members of the faculty and staff to come together informally, socially, and for professional purposes. Use of the clubhouse is limited to members and their guests. The building contains large and small dining rooms, guest rooms and suites, lounges, and a small library.

Membership information may be obtained by telephoning the Faculty Club. Special Summer Session memberships are available to visiting faculty members.

Groups using the Club are limited to professional organizations and learned societies which are sponsored by an academic department of the University and are engaged in activities directly related to the University's academic program.

APPENDIX L. STANFORD CAMPUS RECREATION ASSOCIATION

Members of the faculty and staff who are eligible to buy campus houses also are eligible for membership in the Stanford Campus Recreation Association, whether or not they live on campus. The facilities are located on Bowdoin Street near the faculty housing and include a swimming pool with shower and dressing rooms, four tennis courts, a play area for children, and a clubhouse. Swimming and tennis lessons are available in which nonmembers may participate if members do not fill the classes. The membership fee and monthly dues are reasonable, with membership limited to 280 families.

APPENDIX M. STANFORD FEDERAL CREDIT UNION

The Stanford Federal Credit Union, chartered in 1960, provides a saving-lending service for its members. Member-owners number 9,000, with assets of $12,000,000. Loans are granted for most worthwhile purposes, and payroll deductions are one method of repaying loans and purchasing shares. A new faculty member is eligible for membership immediately.

APPENDIX N. STANFORD FACULTY WOMEN'S CLUB

The basic purpose of the Stanford Faculty Women's Club is to provide opportunities for meeting and sharing of mutual interests among women who, because of their own or their husbands' affiliations with the University, have identity with that part of the Stanford community which is composed of the faculty and senior administrative staff. Much of the club's vitality stems from the special interest sections which change from time to time to suit the varying needs and demands of the membership.

APPENDIX O. CHILD CARE SERVICES

There are three centers on the campus for the care, education, and social activities of children of preschool age. With a few exceptions granted, all require advance

registration. All are professionally staffed and charge fees. Often there are waiting periods before enrollment is possible, so early inquiry is advisable. For general information, call 327-3730, 9:30-1:30, weekdays.

APPENDIX P. RECREATIONAL FACILITIES

The campus offers a wide variety of recreational facilities for members of the faculty. These include a golf course, swimming pools, handball courts courts, volleyball courts, and a basketball cou nation concerning schedules for these facilities ca be obtained through the Athletics Department at extension 74591. Information concerning the golf course can be obtained through the Pro Shop, 325-5633.

X. INDEX

Academic staff, 63
Academic Council, 33
  Advisory Board, 33
  Committees, 34, 35
  Meetings, 33
  Membership, 33
  Organized, 33
  Quorum, 33
  Senate, 33, 34
Academic Freedom, Statement on, 17
Academic standing of students, 49
  Notification, 50
  Petitioning, 50
  Probation, 49
  Provisional registration, 49
  Suspension, 50
Accident insurance, 54
Advisory Board, 33
  Election of members, 33
  Role in conduct of hearings arising under the Statement on Faculty Discipline, 15, 33
  Role in handling of grievances under the Statement on Academic Freedom, 17, 33
  Role in handling of grievances under the Statement of Faculty Grievance Procedures, 18
  Role in reviewing appointments, reappointments, and promotions, 21, 33
Affirmative action program, 36
Annual conferences, 28
Appointment, 13
  Close relatives, 28
  Dismissal, 16
  Notice of nonrenewal, 14, 24
  Part-time, 24
  Procedures, 20
  Recommendation form, faculty, 2
  Security of, 13
  Tenure, 13
  Titles, 20
Appointment and tenure
  Statement on Policy on, 13
  Applicability provision, 15
  Appointments, 13
  Dismissal, 14
  Prior notice of nonrenewal, 14
  Security of appointment and tenure, 13
  Tenure by length of service, 13
  Terms of academic appointment, 13
Appointments, reappointments, and promotions, procedures for recommending, 20
  Appointments and reappointments in the adjunct professoriate, 23
  Bibliography, 21
  Billeting, 22
  Biographies for tenure recommendations, 24
  Decisions not to reappoint or promote, 24
  Evaluation of teaching, 22
  Intended role, 21
  New appointment of Assistant Professors, 22
  New tenured appointments and appointments as nontenured associate professor, 22
  Nontenured promotions and reappointments, 23
  A Note on visas, 21
  Promotion of a faculty member already holding tenure, 23
  Reappointments and promotions resulting in the acquisition of tenure, 23
  The review process, 20
  Search, 22
  Special considerations, 21
Assistant Professors, new appointments of, 22
Associate Professors, new appointments of, 23
Auditing of courses, 66
Auto insurance, 60

Branner, John Casper, 61
Business, Graduate School of, 37, 48

Campus partisan political activities, 32
Child care services, 67
Close relatives on the faculty, 28
Committee of Fifteen, 35
Committees, 34
  Academic Council, 34
  Administrative panels, 35
  Legislative and judicial bodies, 35
  Presidential commissions, 35
  Senate, 34,
  Trustee, 35
  University committees, 35
Conferences, 67
Compensation,
  Supplementary, 30, 51
  Total Allowable, 30, 51
Conflict of interest, 16, 45
Consulting, 31
Copyright policy, 45
Courtesy appointments, 21, 28
Credit Union, 67

Death benefit gratuity, 53
Disability, income continuation during, 55
Dismissal, 16
Disruption, Campus Policy on, 65

Early retirement program, 52
Earth Sciences, School of, 37
Education, School of, 37
Emeriti, 33, 53
Endowed chairs, 20
Engineering, School of, 37
Faculty
  Academic freedom, 17
  Annual report, 29
  Appointment, reappointment, and promotion, 20
  Articles of Organization of, 33
  Awards, 66
  Discipline, Statement on, 15
  Grievance Procedures, Statement of, 18
  Participation in University governance, 33
  Titles, 20

Faculty Club, 67
Faculty Discipline,
  Statement on, 15
Faculty Grievance
  Procedures, Statement of, 18
  Appeal procedure, 19
  Definitions and coverage, 18
  Grievance procedure, 18
  Grievance structure, 18
  Standards for review on appeal, 20
Faculty Women's Club, 67
Founding Grant, 5
  Amendments, 5
  Legislation and court decrees, 5
Founding of the University, 5
Fundamental Standard, 65

Grading System, 47
Academic standing, 49
Dead week, 50
End-quarter examinations, 50
Error in grading, 49
Grade points, 50
Graduate School of Business, 48
Pass option, 49
School of Law, 48,
School of Medicine, 49
Graduate Studies, Dean of 38
Grievance Procedures, Statement of Faculty, 18

Health insurance, 53
Homeowner's insurance, 60
Honor Code, 65
Housing, campus, 54
Faculty-staff, 55
Junior faculty, 55
Humanities and Sciences, School of, 37

Identification cards, 51
Instruction, programs of, 37
Insurance, 53
Disability, 54
Group accident, 54
Group life, 54
Health, 53
Travel, 54

Jordan, David Starr, 61
Junior faculty leave program, 31

Law, School of, 37, 48
Leave of absence, 29-31
Leave without salary, 31
Legislative and Judicial Charter, 65
Life insurance, 54
Lyman, Richard Wall, 61

Medicine, School of, 37, 38, 49
Mellon scholars (see junior faculty leave program, 31)
Moving allowances, 55

Nonrenewal of appointment, prior notice of, 15

Officers of the University, 7
Academic, 8
President's staff, 7
Vice-President and Provost's staff, 8
Vice-President for Business and Finance staff, 10
Vice-President for Development staff, 11
Vice-President for Medical Affairs staff, 9
Vice-President for Public Affairs staff, 12
Ombudsman, 66
Overseas studies, 39

Part-time appointments, 24
Patent policy, 45
Pitzer, Kenneth Sanborn, 61
Political (partisan) activities on campus, 32
Postdoctoral scholars, 45
Postretirement privileges, 53
President, 7
Absence or inability to act, 7
Appointment, 7
Powers and duties, 7
Staff, 7
Presidential commissions, 35
Presidents of Stanford, 61
Principal investigators, 42
Prior notice of nonrenewal, 15
Privacy, principles of, 66
Professional affiliations, 31
Professional and outside activities, 31
Programs not within a School, 39
Promotion, 20
Decisions not to promote, 24
Of faculty member already holding tenure, 23
Nontenured, 23
To tenure, 23
Racial, ethnic and sex-based principles in educational activities, 47

Reappointment, 20
Decisions not to reappoint, 24
Nontenured, 23
To tenure, 23
Research, 41
Committee on, 41
Computer services, 43
Conflict of interest, 45
Criteria, 42
Funding, 43
Human subjects, 43
Information center, 45
Internally funded, 43
Laboratory animals, care of, 43
Patent policy, 45
Principal investigators, 42
Principles, 41
Proposals, 42
Secrecy, policy on, 44
Space, 43
Sponsored Projects Information Service, 45
Sponsored Projects Office, 45
Sponsorship, 42
Subcontracts, 43
Vice-Provost for, 41
Retirement, 51-53
Early, 52
Privileges, 53
Social Security benefits, 52
Supplementary pensions, 52
TIAA-CREF annuity plan, 51

Sabbatical leave, 29-31
Junior faculty, 31
Junior faculty research, 31
Salary payment, 51
Bank deposit, 51
Schools and departments, 37
School procedures, 20
Security of appointment and tenure, 13
Senate of the Academic Council, 33
Committees, 34
Membership, 33
Officers, 34
Standing committees, 34
Steering committee, 34
Social Security, 52
Retirement benefits, 52
Survivor payments, 53
Sponsored projects (see Research)
Stanford, Senator and Mrs. Leland 9, 61, 62
Sterling J. E. Wallace, 61
Student affairs
Fundamental Standard, 65
Honor Code, 65
Legislative and judicial bodies, 35
Legislative and Judicial Charter, 65
Stanford Judicial Council, 35
Student Conduct Legislative Council, 35
Students, 62
On committees, 35
Study of Education at Stanford, 62

Teaching, 47
Evaluation of, 22
Tenure, 13
Applicability provision, 15
By length of service, 13
New appointments to, 22
Notice of nonrenewal, 14
Promotions to, 23
Reappointments to, 23
Security of appointment, 13
Statement of Policy on Appointment and Tenure, 13
Tenured faculty development awards, 66
TIAA-CREF, 51
Titles of faculty appointments, 20
Professor, 20
Associate Professor, 20
Assistant Professor, 20
Assistant Professor (subject to Ph.D.), 20
Adjunct Professor, 20
Professor of Clinical (subject), 20
Travel expenses, 55-60
Tresidder, Donald Bertrand, 61
Trustees, 7
Committeees, 7
Faculty membership on committees, 35
Meetings, 7
Membership, 7

Officers, 7
Powers and duties, 7
Tuition grants, 55

Undergraduate Studies, Dean of, 38
University governance, faculty participation in, 33

Vice-President and Provost, 8
Vice-President for Business and Finance, 10
Vice-President for Development, 11
Vice-President for Medical Affairs, 9
Vice-President for Public Affairs, 12
Visas, 21
Visiting scholars, 66
Voluntary tax-deferred annuity programs, 52

Wilbur, Ray Lyman, 61